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ABSTRACT

This handbook presents in summary form descriptions of the Middle States Association, the Commission on Higher Education and its organization, a statement of the Commission's functions and working philosophy, brief sections on accreditation and the accrediting process, and a set of major policy statements adopted by the Commission and by the Federation of Regional Accrediting Commissions of Higher Education (FRACHE). In addition to the presentation of Commission policies, practices, and procedures, some of the position papers endorsed by the Commission are included. A tear-out document order form at the end of the handbook contains a full list of the Commission's publications. (Author)

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POLICIES AND PROCEDURES HANDBOOK

1973 EDITION

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COMMISSION ON HIGHER EDUCATION
MIDDLE STATES ASSOCIATION OF COLLEGES AND SECONDARY SCHOOLS

POLICIES AND PROCEDURES HANDBOOK

1973 EDITION

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COMMISSION ON HIGHER EDUCATION
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Foreword

This handbook presents in summary form descriptions of the Middle States Association, the Commission on Higher Education and its organization, a statement of the Commission's functions and working philosophy, brief sections on accreditation and the accrediting process, and a set of major policy statements adopted by the Commission and by the Federation of Regional Accrediting Commissions of Higher Education (FRACHE). In addition to the presentation of Commission policies, practices, and procedures, some of the position papers endorsed by the Commission are included. See the tear-out document order form at the end of this handbook for a full list of the Commission's publications.

PART I

THE MIDDLE STATES ASSOCIATION

and

THE COMMISSION ON HIGHER EDUCATION

THE MIDDLE STATES ASSOCIATION

The Middle States Association of Colleges and Secondary Schools is an independent organization of non-profit educational institutions, established in 1887 for the improvement of educational institutions and for the development of better working relations among secondary schools, institutions of higher education, and other educational agencies in the Middle States area. Membership follows accreditation by either the Commission on Higher Education or the Commission on Secondary Schools. The Association is controlled by its member institutions, whose representatives meet annually in convention to transact its business. It has no individual members other than those elected honoris causa by the membership.

One of six similar regional organizations which together cover the United States and its possessions, the Middle States Association draws its membership from New York, New Jersey, Pennsylvania, Maryland, Delaware, the District of Columbia, Puerto Rico, the Canal Zone, and the Virgin Islands. The Association is autonomous, although some other organizations with similar interests are affiliated with it for mutual support.

COMMISSION ON HIGHER EDUCATION

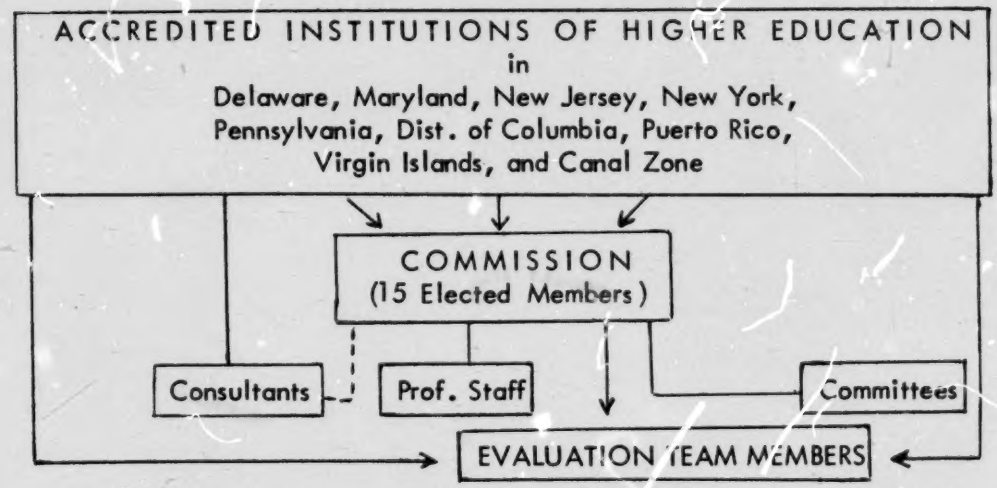
The Bylaws of the Association assign accrediting and related activities to two Commissions, one of which works with secondary and middle schools and the other with post-secondary institutions. According to the Bylaws, the Commission on Higher Education, established in 1919,

> shall consist of seventeen persons, fifteen to be elected with consideration to geographical and institutional distribution in addition to the President and Second Vice President of the Association. Vacancies shall be filled at the Annual Meeting by vote of the Association. The Commission shall annually elect its own Chairman, First Vice Chairman and Second Vice Chairman. No elected member of the Commission shall serve continuously for more than two three-year terms. Officers of the Commission may serve continuously, if re-elected, as Commissioners and officers, for a total of nine years; however, no officer may serve in a specific office for a period exceeding six years.

Commissioners serve without compensation and must be currently active on the faculty or staffs of member institutions. The entire Commission meets three times a year, but standing committees on evaluation, follow-up activities, and developing institutions also meet periodically, thus facilitating the Commission's work.

Its day-to-day activities are conducted by a professional staff comprised of an executive secretary, two associate executive secretaries, one assistant executive secretary, and an administrative secretary, as well as other secretarial and clerical personnel. Evaluative and consultative services arranged for by this staff are performed on a voluntary basis, largely by academic personnel selected from member institutions.

The organization of the Commission on Higher Education and the relationships between the institutions and the individuals concerned are reflected in the following diagram:



COMMISSION SERVICES AND ACTIVITIES

Accrediting Activities

The Commission strives to serve its membership and the educational community chiefly through accrediting procedures and other services and activities supplementary to evaluations and consulting. It does so by developing criteria for judging educational effectiveness and by identifying institutions which are substantially applying them. It functions generally:

1. To promote in the Middle States territory the welfare and improvement of higher education. Special emphasis is placed upon service to member institutions, but without limitation to these colleges and universities;

2. To publish lists of accredited institutions of higher learning in accordance with the policies accepted by the Association, and to recommend to the Association from time to time such changes in its policies for the accreditation of institutions of higher education as may be desirable;

3. To promote consistent growth in the educational usefulness of member institutions, and to cooperate in various ways with similar commissions and other organizations in working toward this end.

A very important aspect of the Commission's activities is its continuing relationship with mature institutions through periodic evaluations for reaffirmation of accreditation and through the use of experienced faculty members and administrators from these institutions on evaluation teams and as consultants. In its efforts to serve mature institutions, the Commission continues to develop new programs and procedures, and it welcomes inquiries and suggestions relevant to this area of its responsibilities.

Programs for Professional Education

Among the most successful Commission programs in recent years have been case studies conducted on the campuses of member institutions. These provide opportunities for intensive professional education by enabling faculty and administrators from other institutions to participate in probing studies of a selected institution's modus operandi. The institutions selected for case studies represent a cross-section of types in the Middle States area, and enrollment is open generally on a first-come basis to members of the faculty or staff of any educational institution.

Another opportunity for professional education is made available through the appointment of a limited number of evaluation team associates (see p. 80). Associates have full access to institutional self-study reports and observe the evaluation process in its entirety, but they do not formally contribute to a team's report and do not share in its recommendations to the institution or the Commission.

From time to time the Commission also sponsors conferences for institutions with mutual interests or common problems, or provides resource people for special meetings. Commission officers and staff also meet annually with representatives of state departments of higher education in the region to exchange ideas and information. Liaison is also maintained with numerous other organizations and agencies.

Publications

An extensive series of publications describes Commission policies and procedures, and provides guidelines in some of the critical areas of higher education (see pp. 39-74; p. 93). A newsletter announcing Commission actions and calling attention to developments of significance to Middle States institutions is distributed periodically within the region and to a number of organizations in other regions and in Washington, D.C.

FINANCIAL SUPPORT OF THE COMMISSION

The Middle States Association and the Commission on Higher Education are supported by membership dues and fees charged for special services. A full schedule of these costs is contained in a separate document available on request.

RECOGNITION BY THE UNITED STATES OFFICE OF EDUCATION

The Commission on Higher Education is recognized by the United States Office of Education. For purposes of determining eligibility for United States Government assistance under certain legislation, the U.S Commissioner of Education is required to publish a list of nationally recognized accrediting agencies and associations which he determines to be reliable authority as to the quality of training offered by educational institutions and programs. Most institutions thus attain eligibility for Federal funds by way of accreditation or preaccreditation by one of the accrediting bodies recognized by the Commissioner of Education.

WORKING PHILOSOPHY

In summary, the working philosophy of the Middle States Commission on Higher Education can be expressed as follows:

The primary emphasis in all Commission activities is on strengthening institutions.

The Commission seeks to de-emphasize accreditation per se, without minimizing its own or an institution's accountability.

The Commission emphasizes qualitative evaluation in terms of an institution's own objectives.

The Commission is not a standardizing agency and does not employ institutional comparisons.

The Commission supports educational innovation.

PART II

ACCREDITATION

ACCREDITATION

Accreditation is an expression of confidence in an institution's present performance and in its long-range ability to maintain and improve that performance. Institutional accreditation at the post-secondary level is a means used by the Commission on Higher Education for purposes of:

> fostering excellence in postsecondary education through the development of criteria and guidelines for assessing educational effectiveness;
>
> encouraging institutional improvement of educational endeavors through continuous self-study and evaluation;
>
> assuring the educational community, the general public, and other agencies or organizations that an institution has clearly defined and appropriate educational objectives, has established conditions under which their achievement can reasonably be expected, appears in fact to be accomplishing them substantially, and is so organized, staffed, and supported that it can be expected to do so;
>
> providing counsel and assistance to established and developing institutions;
>
> protecting institutions against encroachments which might jeopardize their educational effectiveness or academic freedom.

Accreditation is attained through a process of evaluation and periodic review of total institutions conducted by regional commissions in accord with national policies and procedures approved by the Federation of Regional Accrediting Commissions of Higher Education (FRACHE).

CODE OF GOOD PRACTICE IN ACCREDITING IN HIGHER EDUCATION (FRACHE, 1966)

Any organization conducting accrediting activities in higher education should follow the guidelines of the Code of Good Practice. Under this Code, the accrediting agency is expected:

(a) to evaluate or visit an institution or program of study only on the express invitation of the president or, when the action is initiated by the organization with respect to an institution already accredited by the organization, with the specific authorization of the president of the institution or his officially designated representative;

(b) to permit the withdrawal of a request for initial accreditation at any time (even after evaluation) prior to final action;

(c) to recognize the right of an institution or program to be appraised in the light of its own stated purposes so long as those purposes demonstrably fall within the definitions of general purpose established by the organization;

(d) to rely upon the institutional (regional) accreditation for evaluations of general quality of an institution;

(e) to state criteria for accreditation in terms that are manifestly relevant to the quality of an institution or program, respecting institutional freedom in other matters;

(f) to use relevant qualitative and quantitative information in its evaluation process;

(g) to consider a program or programs of study at an institution, including its administration and financing, not on the basis of a single predetermined pattern but rather in relationship to the operation and goals of the entire institution;

(h) to assist and stimulate improvement of the educational effectiveness of an institution, and to this end be prepared to provide consultative assistance;

(i) to encourage sound educational experimentation and permit innovations;

(j) to so design questionnaires and forms as not only to obtain information for the visiting examiners but also so far as possible to stimulate an institution to evaluate itself;

(k) to conduct any evaluation visit to an institution by experienced and qualified examiners under conditions that assure impartial and objective judgment;

(l) to follow the principle that there shall be adequate representation in an evaluation from the staffs of other institutions offering programs of study in the fields to be accredited;

(m) to avoid appointment of visitors who may not be acceptable to an institution;

(n) to cooperate with other accrediting agencies so far as possible in scheduling joint visits when an institution so requests;

(o) to provide for adequate consultation during the visit between the team of visitors and the faculty and staff of an institution, including the president or his designated representative;

(p) to provide adequate opportunity for inclusion of students in the interviewing process during accrediting visits;

(q) to provide the president of an institution being evaluated an opportunity to read the factual part of the report prepared by the visiting team, and to comment on its accuracy before the agency takes action on it;

(r) to regard the text of the evaluation report as confidential between an institution and the accrediting agency, with the exception that it may be made available to other recognized accrediting agencies by which the institution has been accredited or whose accreditation it is seeking;

(s) except as provided in (r) to permit an institution to make such disposition of evaluation reports as it desires;

(t) to consider decisions relative to accreditation only after receipt of the comments of the president, as provided in (q), and when the chairman of the visiting team is present or the views of the evaluation team are otherwise adequately represented;

(u) to refrain from conditioning accreditation upon payment of fees for purposes other than membership dues or actual evaluation costs;

(v) to notify an institution as quickly as possible regarding any accreditation decision;

(w) to revoke accreditation only after advance notice has been given to the president of an institution that such action is contemplated, and the reasons therefor, sufficient to permit timely rejoinder.

RELATIONSHIP BETWEEN THE COMMISSION ON HIGHER EDUCATION AND PROFESSIONAL OR SPECIALIZED ACCREDITING AGENCIES

The following principles are assumed as axiomatic:

A. Each institution of higher education is free to decide for itself whether or not to seek accreditation by any particular agency.

B. The Commission and a professional accrediting agency collaborate in evaluating a specialized program whenever the institution desires accreditation by both or invites both to participate in the evaluation.

C. The Commission draws upon the experience of the professional accrediting agencies in establishing standards of excellence in the specialized fields and for assistance in evaluating them, and in turn aids the professional agencies in the appraisal of supporting and related areas and of institutional control and management. Assistance on the part of the professional agencies often includes suggesting evaluators for the Commission, to serve it and to report to it alone; providing a panel of nominees from which the Commission might choose its evaluators; providing information concerning standards and criteria used by the professional agency. The Commission, on its part, provides for the professional agency information concerning the organization, over-all governance and administration of an institution, the quality of its supporting programs, and the like.

D. The Commission, when its final decision on an institution is affirmative, accredits that institution as a whole, after an evaluation of all of its programs. This general institutional accreditation, however, does not validate a specialized program in the same manner and to the same extent as does accreditation of that program by a specialized agency.

E. The decision to seek specialized accreditation for specific programs is entirely the institution's. The Commission takes no position whatsoever on this point.

PART III

THE ACCREDITING PROCESS

A. CANDIDATE FOR ACCREDITATION STATUS

B. ACCREDITATION

THE ACCREDITING PROCESS

Non-profit postsecondary institutions in the Middle States region which seek accreditation should apply to the Commission on Higher Education by the procedures discussed below. The Commission, in accordance with FRACHE policy, will not enter into a new working relationship with an institution different in nature, scope, and/or sponsorship from those on its current list of accredited or affiliated institutions.

A. CANDIDACY FOR ACCREDITATION

Candidate for Accreditation status offers institutions the opportunity to establish a formal, publicly-recognized relationship with the Commission on Higher Education. Candidate for Accreditation is a status of affiliation with a regional accrediting commission which indicates that an institution is progressing toward, but is not assured of accreditation. The Candidate for Accreditation classification is designed for post-secondary institutions which may or may not be fully operative. In either case the institution must provide evidence of sound planning, the resources to implement these plans, and appear to have the potential for attaining its goals within a reasonable time.

An institution that is granted Candidate for Accreditation status will be listed as holding such status in Accredited Institutions of Higher Education which is published annually for the Federation of Regional Accrediting Commissions of Higher Education. (FRACHE, see p.82)

Newly-founded units in multiple-campus systems are examined and considered separately for Candidate for Accreditation status if they are defined as operationally separate by the Commission. Institutions are classified as operationally separate if they are under the general control of a parent institution or a central administration in a multiple-unit system; have a core of full-time faculty, a separate student body, and a resident administration; and offer programs comprising a totality of educational experience. (See p.86)

ELIGIBILITY

Institutions applying for initial accreditation should meet the following requirements for eligibility:

1. Have a charter and/or formal authority from the appropriate governmental agency to award a certificate, diploma, or degree;

2. Have a governing board which includes representation reflecting the public interest;

3. Have employed a chief administrative officer;

4. Offer, or plan to offer, one or more educational programs at least one academic year in length or the equivalent at the postsecondary level, with clearly defined and published educational objectives as well as a clear statement of its means for achieving them.

5. Include general education at the postsecondary level as a prerequisite to or an essential element in its principal educational programs;

6. Have admission policies compatible with its stated objectives;

7. Have developed a preliminary survey or evidence of basic planning for the development of the institution;

8. Have established an adequate financial base or funding commitments and have available a summary of its latest audited financial statement.

APPLICATION PROCEDURE FOR CANDIDATE STATUS

If the prerequisites exist, the institution involved should contact the Commission office. A staff member will visit, review the application procedure, and assist the institution. The institution may then submit an application for Candidate for Accreditation status to the Commission on Higher Education. There are no application blanks to fill out. The following documents constitute the application:

1. Three copies of the Candidate for Accreditation Planning Document compiled in accordance with the instructions provided. (See page 23)

2. A catalog, if students are enrolled.

3. A "letter of intent" stating that the institution plans to seek accreditation with all deliberate speed. This "letter of intent" should indicate that the board of control of the institution has authorized the institution's application for Candidate for Accreditation status.

4. Articles of Incorporation and charter if the institution is private.

5. Evidence of degree-granting authority from the appropriate agency.

THE CANDIDATE FOR ACCREDITATION DOCUMENT

The following ten items are to be addressed by the applicant institution. Since the application constitutes a planning document for institutional and Commission use, the projections for each of the six years should be realistic. The annual reports provide an opportunity to revise the original document where necessary. The biennial visitation teams will be provided with the original application and annual reports in order to evaluate the institution's progress toward accreditation.

Supportive documentation can be kept at the institution for review by the evaluation team. The document itself should:

1. Describe the current purposes and objectives of the institution. Indicate changes and modifications of objectives over the next six years;

2. Describe the clientele and constituency served. Project enrollment patterns and distribution over the next six years. Specify assumptions upon which development is predicated;

3. Describe the current evaluation procedures employed to assess institutional effectiveness. Project the means by which the institution will assess institutional performance and achievement of objectives over the next six years;

4. Describe the current educational program-(s). Relate educational programs to institutional objectives and constituency. Indicate plans for development of the curriculum over the next six years;

5. Describe the current financial resources. Indicate the financial base of the institution. Relate funding to institutional growth and development over the next six years;

6. Describe the personnel who staff the enterprise. Indicate plans for staffing the educational program and supportive services over the next six years;

7. Describe the current plant and physical resources. Project the development of these resources over the next six years;

8. Describe the current learning resources. Project the development of these resources over the next six years;

9. Describe the institution's organization and decision-making procedures. Relate to institutional growth and development over the next six years;

10. Describe the problems confronting institutional development and means to overcome them. Project limitations and anticipated problem areas. Describe how the institution may plan to resolve these situations.

ASSESSMENT VISIT FOR CANDIDATE STATUS

Following the filing of a completed application, at least two Middle States visitors will be appointed to make a one-day assessment of the institution.

The chairman of the team sets the dates for the visit in consultation with the institution and the other member of the team. For action at the December meeting of the Commission, the staff contact should be made by October 1, the application filed by October 15 and the evaluation visit completed by November 10. For action at the June meeting the dates are March 15, April 15 and May 15 respectively.

When the team arrives on the campus, it usually will meet with the chief administrative officer and his administrative staff to set the stage for the visit and to discuss the program of the institution. The members of the evaluation team will probably wish to begin their interviews with individual administrative officers and faculty members. They will ordinarily arrange for conferences with, among others, the director of the learning resources, the chief student personnel officer, department heads, and a representative group of faculty members and students. It is recognized that, for many newly-established institutions, a full complement of faculty and administrative staff may not have been appointed.

Before leaving the campus the team will meet with the chief administrative officer of the institution and his administrative staff to report its findings and to check the accuracy of facts and judgments.

TEAM REPORT ON THE ASSESSMENT VISIT

Within a week of the visit a brief evaluation report is prepared by the visiting team. The report usually will not be a lengthy document. The focus of the report will be on an assessment of the institution's planning and its current stage of development and on its potential for attaining accreditation within approximately six years. It will set forth the limitations and difficulties which the institution is experiencing and the plans it has for overcoming them.

The chairman of the team assumes the responsibility for preparing the report. After consultation with the other team member, the chairman forwards the draft of the report to the chief administrative officer of the institution for correction of factual errors only. The chief administrative officer will have an opportunity to submit a written response to the judgments of the evaluation team. From the corrected draft the chairman prepares the report and forwards it to the Commission Office for distribution.

INSTITUTIONAL REPORTING PROCEDURES FOR CANDIDATES

Institutions achieving the status of Candidate for Accreditation are required to:

1. File an annual institutional data summary report with the Commission office by October 1 of each year. See page 78 in Policies and Procedures Manual.

2. Twice each year file an interim report (October 15 and February 15). The content should be not more than ten (10) pages long;

3. Have an on-site visit every two years by a two-person evaluation team. The resulting team report produced is considered by the Commission;

4. Consultants assigned by the Commission normally work with and assist the institution as it progresses toward regional accreditation.

Candidate for Accreditation status is limited to a maximum of six (6) years provided that the interim reports, consultant reports and the biennial evaluation reports indicate that the institution is progressing satisfactorily toward regional accreditation. The Commission reserves the right to remove an institution from the list of Candidates for Accreditation after due notice.

REFERENCE TO CANDIDATE STATUS IN INSTITUTIONAL PUBLICATIONS

Institutions granted Candidate for Accreditation status must utilize the following statement if they wish to describe the status publicly:

Candidate for Accreditation is a status of affiliation with a regional accrediting commission which indicates that an institution has achieved initial recognition and is progressing toward, but is not assured of accreditation. It has provided evidence of sound planning, seems to have the resources to implement the plans, and appears to have the potential for attaining its goals within a reasonable time.

PROCESS FOR MOVING FROM CANDIDATE TO ACCREDITED STATUS

A Candidate for Accreditation may proceed into self-study and be considered for accreditation at any time within the six (6)-year period after initial contact with the Commission. It proceeds into self study after consultation with the consultant assigned to assist it and consultation with the Commission staff. If an institution does not host a full evaluation team and therefore is not considered by the Commission for accreditation within the six (6)-year period, it will be dropped with due notice from the list of Candidates for Accreditation and must normally wait two (2) years before reapplying for said status

or applying for accreditation.

During the six-year period, after a visit by a Commission Staff member, an institution is expected to engage in the process of institutional self-analysis which should culminate in the preparation for the visit by a full evaluation team. The self-study document constitutes the application for accreditation.

In the event that a Candidate institution fails to make satisfactory progress toward accreditation, the Commission will issue a "show cause order" requesting within a specified time that the institution submit evidence of significant improvement in its situation (to be followed by a visit from a Commission representative), or lose its status. The circumstances may vary in each case, but among the criteria to be taken into account will be: general lack of comprehensive planning; political or other interference with institutional integrity; failure of an institution to achieve its own established goals in enrollment, financial support, provision of adequate physical facilities and equipment; weakness of library and supportive educational resources; inadequacies in numbers and professional competence of faculty, administrative, and supportive staff; insufficient development of programs and curricula in relation to the institution's prospectus, catalog, and/or other published documents. An institution losing its status as a Candidate ordinarily may not re-apply for Candidate status until two full years from the date of Commission action.

B. ACCREDITATION

Accreditation is a status which indicates that an institution is offering its students on a satisfactory level the educational opportunities implied in its objectives.

ELIGIBILITY

To be considered for accreditation the applicant organization must be a non-profit, postsecondary educational institution with the following characteristics:

1. Have a charter and/or formal authority from the appropriate governmental agency to award a certificate, diploma, or degree;

2. Have a governing board which includes representation reflecting the public interest;

3. Offer one or more educational programs of at least one academic year in length or the equivalent at the postsecondary level, with clearly defined and published educational objectives as well as a clear statement of its means for achieving them;

4. Include general education at the postsecondary level as a pre-requisite to or an essential element in its principal educational programs;

5. Have admission policies compatible with its stated objectives;

6. Publish and make available to the public a summary of its latest audited financial statement which indicates fiscal resources adequate to support its offerings;

7. Have completed a major portion of at least one cycle of its principal programs prior to an on-site evaluation;

8. Submit an institutional Self-Study.

THE SELF STUDY AND EVALUATION PROCESS

A candidate institution which wishes to be considered for accreditation initiates, after consultation with the Commission staff, the self-study and evaluation process. Whatever form of self-study and evaluation an institution may employ, the process always includes the following five steps:

1. THE INSTITUTION LOOKS AT ITSELF AND SPEAKS TO THE COMMISSION VIA SELF-STUDY.

2. PEERS GIVE EVALUATION AND ADVICE VIA THE EVALUATION TEAM REPORT.

3. THE INSTITUTION REACTS TO THE TEAM REPORT THROUGH A RESPONSE DIRECTED TO THE COMMISSION.

4. THE COMMISSION ACTS ON THE BASIS OF THE INFORMATION GAINED IN THE FIRST THREE STEPS.

5. THE INSTITUTION CONTINUES TO CONSIDER AND ACT ON THE RESULTS OF ITS OWN STUDY AND THE ADVICE IT HAS RECEIVED.

THE INSTITUTIONAL SELF-STUDY — See Institutional Self-Study Handbook for detailed presentation.

Self-study is an analysis of an institution's educational resources and effectiveness by its own staff. It is the part of the Middle States evaluation procedure which has primary importance for the institution. In a self-study the faculty, administration, and governing board are able to appraise their institution's accomplishments and potential in light of what they wish the institution to be. Working with the Commission and its staff, they define the context in which the institution is to be examined and reveal their own level of expectations. The undertaking of a well-planned and clearly focused self-study should result in a common effort to analyze and then to improve the institution.

Benefits are, of course, proportional to the incisiveness of the inquiry: its aim must be to understand, evaluate and improve, not simply to defend. The fact that a Middle States team visit is to follow gives the self-study added impetus, but the views of the visiting team should, ideally, merely sharpen its impact.

Through the process of self-study the institution mobilizes the various elements of the academic community to reflect on the purposes and effectiveness of the institution to examine its strengths as well as weaknesses and, where problems or opportunities are identified, to begin to work toward their solution or fulfillment.

In whichever type of self-study an institution engages, it should ask such questions as:

1. WHAT ARE THE INSTITUTION'S OBJECTIVES AND WHAT OBLIGATIONS DOES IT RECOGNIZE?

2. ARE THESE OBJECTIVES APPROPRIATE NOW AND FOR THIS PARTICULAR INSTITUTION?

3. ARE ALL OF ITS PROGRAMS AND ACTIVITIES DESIGNED TO ACHIEVE THESE OBJECTIVES?

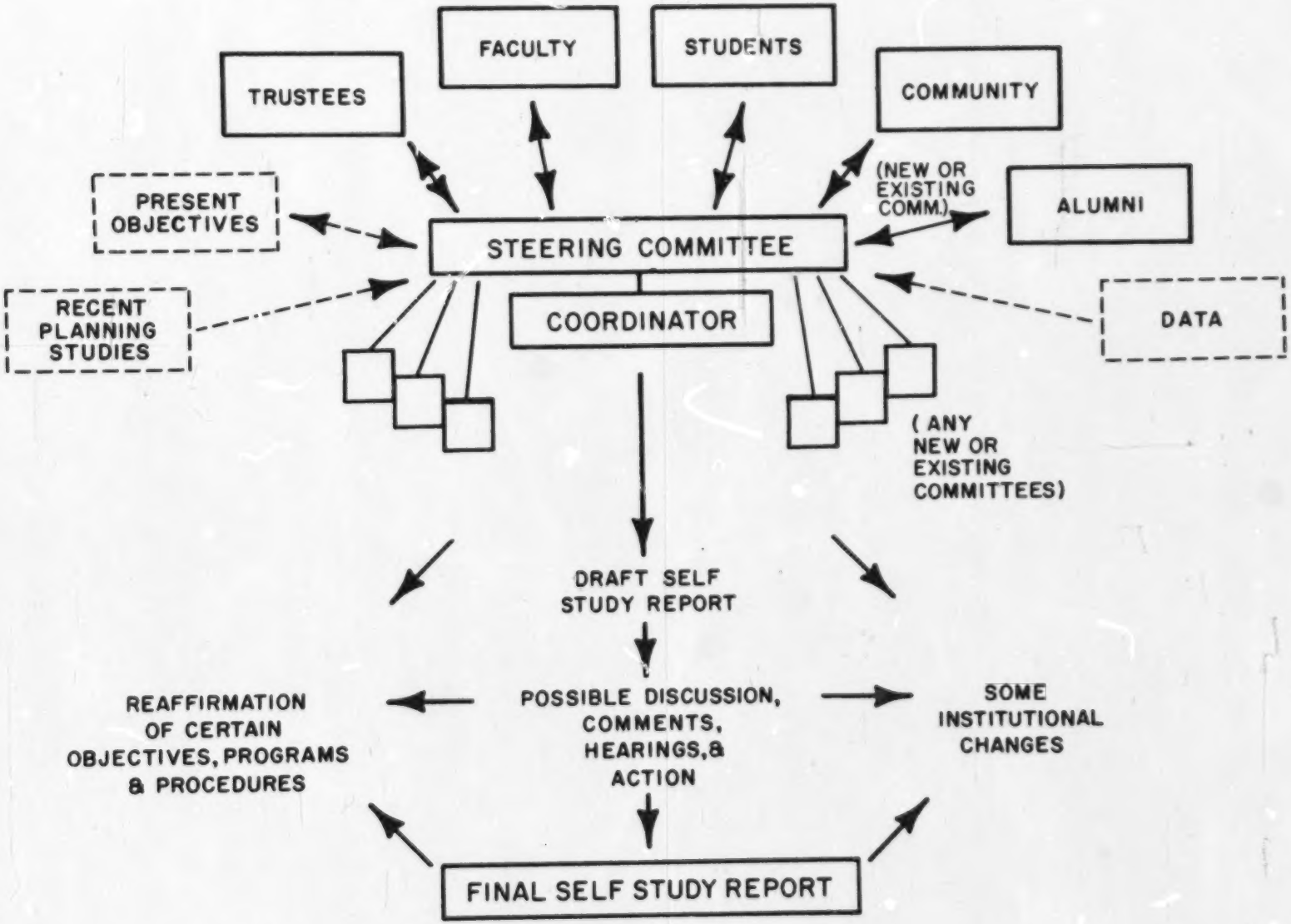
4. ARE THE RESOURCES AVAILABLE TO CARRY OUT THE PROGRAMS? WILL THEY CONTINUE TO BE AVAILABLE?

5. WHAT EVIDENCE EXISTS TO SHOW THAT OBJECTIVES ARE BEING ACHIEVED?

Note: Where institutions sponsor or participate in overseas study programs and/or centers, they must include analyses of these programs and/or centers in their self-studies. (See FRACHE Policy Statement on Study Abroad Programs on page 90)

Diagrammatically, a sample self-study process might be represented as follows:

ORGANIZATION & FLOW OF SELF STUDY



APPROACHES TO SELF STUDY

In assisting institutions with self-study, the Commission adheres to the following FRACHE policy statement:

The approaches which the regional institutional accrediting commissions use in assisting institutions with self-study and planning and to provide a vehicle for institutional evaluation, should have the following characteristics;

1. Flexibility: because institutions are different, because situations change over time, and because of external influence and internal conditions, a variety of approaches to self-study and evaluation should be available.

2. Each approach should be attuned to the current order of institutional priorities. To the extent possible, the institution should not be expected to set aside important internal priorities and problems in order to undergo the accreditation review process.

3. The approach selected should utilize recent or current institutional research or self-evaluation, if it has been done reasonably well. The institution should not be expected to duplicate any evaluative activity it has recently completed.

4. The approach selected must be sufficiently general and carried out with appropriate depth and access to basic information to permit the regional Commission to fulfill its basic accountability which provides a means through which the institution can be held accountable to its stated objectives. To the fullest extent possible, that accountability function should focus on the results of the educational program and their implications for the programs, procedures and processes concerned. In this way the evidence of institutional effectiveness (including change in student characteristics during the education process at the institution, followup studies of graduates, etc.) is used to improve the institution's programs and processes.

5. The approach utilized should yield at some appropriate time a concise, readable, but substantial document to be used for internal planning by trustees, faculty members, administrators, and students as well as for informational use by outside agencies. This document must get beyond description and dwell extensively on analysis and interpretation.

6. The self-study process utilized should involve as many people as possible on the campus and, in appropriate situations, people from off the campus.

7. One of the goals of the process chosen should be to foster ongoing self-study and planning at the institution. What happens on a continuous basis after the accrediting Commission has finished its immediate work is as important as the accountability and short-range improvement aspects of the process.

FORMS OF SELF-STUDY

An institution seeking initial accreditation will use the Comprehensive Self-Study described below as part of the evaluation process. The self-study form for a re-evaluation depends upon circumstances, particularly upon the degree to which an institution makes habitual and skillful use of self-study techniques on its own accord. Member institutions are invited to discuss the possibilities, one and a half to two years in advance, with a member of the Commission's staff.

1. FORMS AVAILABLE TO ANY MEMBER INSTITUTION

Comprehensive Self-Study: the basic type of institutional review, in which every major aspect of the program, the governing and supporting structure, the resources and services, and the educational outcomes are appraised in relation to the institution's self-defined objectives, through a complete self-study.

A comprehensive self-study is the most common form, and is usually the desirable one unless an institution has recently conducted a thorough and comprehensive self-evaluation on its own or has a regular program of internal institutional research and self-study which would render this approach repetitious or unprofitable.

The materials included in the Commission's Institutional Self-Study Handbook may be used as guides, but the institution is encouraged to develop a freely-designed narrative report, supported by the necessary factual data presented in a concise and readable form.

If the institution holds or desires accreditation by specialized agencies, a joint visit can often be arranged and should be considered. A single self-study document may serve in such instances.

General Self-Study With Certain Emphases: a variant of the basic comprehensive self-study, useful for institutions wishing to give special attention to selected areas or issues within the context of their overall objectives and performance. Such a plan involves a general review of objectives, program, and supporting elements, followed by an examination in depth of aspects which are of primary significance to the institution at the time.

The self-study report should cover both phases. The Self-Study Handbook materials may be used as the basis for the general part, or the institution may create its own specific format. The analysis of and report on the

special emphases may be presented in whatever manner is appropriate. They must be matters which are current issues for the institution, on which external judgment and criticism are desired and likely to be useful, and which are significant indices of the competence of its educational performance. The visiting team gives particular attention to the special emphases within an examination of the institution as a whole.

2. FORMS WHICH REQUIRE ADVANCE APPROVAL

An institution interested in one of the following three procedures, or a combination of them, should work out a proposed course of action with the Commission's staff. Commission approval may be required in unusual cases.

Selected Topics Approach: Concentration upon certain areas, units, or aspects of an institution, when the basic accreditability of the institution can be readily verified through available information and when intensive study of selected functions or parts or chosen aspects of its work promises to be illuminating of the whole, and more profitable to the institution. After discussion with the Commission's staff, the institution should present, early in the self-study period, a detailed plan of action for approval. The self-study will then need to produce (a) a relatively brief introductory paper setting forth the institution's aims and objectives, describing its organization, programs, resources, and outcomes, and providing such quantitative data as are necessary; and (b) information in depth on the chosen areas or topics. The visiting team will be selected accordingly and instructed to develop from the special topics a view of the institution as a whole.

Current Special-Study Approach: an institution making or about to make a comprehensive and intensive study of its educational program for curriculum revision, long-range educational planning, or similar purposes may wish to request that such a study be used in place of a more conventional form of self-study. After discussion with a member of the Commission's staff, a detailed proposal should be presented, with evidence of the institution's ability to carry it out effectively, or with evidence that it has been a serious enterprise if already completed. A specially constructed visiting team will be chosen which will usually visit after the completion of the study.

Regular Institutional Research Approach: acceptance of the product of an institution's regular program of institutional research in fulfillment of the self-evaluation requirement, without further documentation other than an introductory statement.

Such a procedure will be considered only when institutional research covering the general range and outcomes of an institution's programs is a significant part of its established procedures. The Commission will appoint a small committee to examine the materials and to decide whether more information or an extended visit are needed.

OTHER FORMS ARE POSSIBLE AND MAY BE DEVELOPED IN CONJUNCTION WITH THE COMMISSION STAFF. For a more extensive exposition of forms of self-study, see H. R. Kells, "Institutional Accreditation: New Forms of Self-Study," Educational Record (Spring, 1972), pp. 143-148. (See document order form, p. 93)

EACH INSTITUTION IS URGED TO DESIGN AND CARRY OUT ITS SELF-STUDY IN SUCH A MANNER AS TO ENSURE THAT THE WHOLE PROCESS IS USEFUL TO THE INSTITUTION. THE IDEAL TOWARD WHICH THE INSTITUTION AND THE COMMISSION SHOULD STRIVE IS ONE IN WHICH THE INFORMATION GATHERED AND THE PLANS MADE WILL SERVE AN IMPORTANT INSTITUTIONAL PURPOSE WHILE MEETING THE REQUIREMENTS OF THE ACCREDITATION PROCESS.

3. FORM AVAILABLE ONLY BY INVITATION OF THE COMMISSION

Case Studies: these are not designed as evaluation visits but as professional laboratory-seminars, oriented wholly to persons who, at their own volition and expense, choose to participate in them. A case study group, which may be arranged on a first come-first served basis or by special selection, examines an institution simply in order to understand it as illustrative of certain concepts and practices in higher education. The group ordinarily has no obligation to report to the Commission or to the host institution.

An institution's preparation for a case study, however, often accomplishes the central purposes of a self-study. The task of explaining itself to others is apt to induce greater clarity as to its own goals and to induce a critical review of its programs and resources.

When an institution invited to present a case study desires to do so, it may also request the Commission to supply experienced observers at the institution's expense to make a critical report. A skilled observer, studying the materials through which the institution presents itself and listening to the give-and-take with its visitors, can discover its strengths and weaknesses in much the same manner as an evaluation team does. The Commission may then update the institution's accreditation in light of the report or require additional measures.

EVALUATION VISITS FOR ACCREDITED STATUS

1. APPRAISAL OF READINESS VISIT (only for institutions seeking initial accreditation)

The Appraisal of Readiness for Evaluation is precisely what its name implies: a last minute checkup to give an institution the benefit of corroboration by experienced outsiders that it really is ready to be evaluated. The date for the evalution visit is tentative until the institution's president has received the appraisers' report.

An appraisal of readiness is actually a consultative service, usually requiring a one-day campus visit by two people. The result is reported directly to the institution to help its officers reach a decision on whether to go ahead with the full evaluation. The appraisal is designed to encourage an institution to make a strong bid for accreditation at the earliest practicable moment by removing some of the risk in doing so. But an appraisal is not an evaluation, and a favorable report does not guarantee that accreditation will quickly follow. An unfavorable appraisal report does not place the institution at a disadvantage, but simply indicates that further preparation is advisable.

The appraisers report directly to the head of the institution, orally before they leave and in writing shortly thereafter. A copy of their written report is sent to the Commission's executive staff for their information, so that they can help the institution plan the next step. The evaluation team visit normally follows an appraisal report in approximately eight weeks to three months.

2. EVALUATION TEAM VISIT

Several months before the evaluation visit the Commission names an evaluation team, usually composed of six to ten members, to visit the campus. The precise time of the visit is agreed upon by the team chairman and the institution. (For initial accreditation, the evaluation team visit can not be scheduled until the institution has graduated one class which has completed its full academic cycle.) The team, comprised chiefly of academic personnel from the Association's member institutions and chosen especially for competencies relevant to the institution being visited, addresses itself to an on-site study based upon the self-study document and supporting material supplied by the institution. The team's major assignment is to make a considered group judgment, as informed colleagues, on the institution's educational effectiveness, viewed in the light of its stated objectives. Evaluation team visits usually last three days. Before leaving the campus, the chairman of the team reports orally on the team's view of the institution, presenting in summary form the substance of the written team report which will be produced.

EVALUATION TEAM REPORT

The evaluation team report is addressed to and written for the institution which has been visited. Its chief purpose is to be of service in the institution's continued self-development. Copies of the report are sent to the Commission.

COMMISSION ACTION

The institution which has been visited responds to the team report through its president, addressing its response directly to the Commission on Higher Education. The Commission bases its subsequent official action regarding accreditation on careful consideration of 1) the self-study document; 2) the evaluation team report; and 3) the institutional response to that report.

ACCREDITATION

Accreditation applies to an entire institution and attests the judgment of the Commission on Higher Education that the institution is guided by well-defined and appropriate educational objectives, that it is accomplishing them substantially, and that it is so organized, staffed, and supported that it can be expected to continue to maintain its standards.

Accreditation is unconditional, never partial, or probationary. Accreditation action concerns the whole institution, and the Commission does not accredit or reaffirm one part and not the remainder. There are no classifications or distinctions within the institutional membership. Possible actions after a Middle States evaluation visit are, in simplified form:

1. Immediate accreditation or reaffirmation of accreditation, with no qualifications or requests for further reports.

2. Accreditation or reaffirmation with a request for later visits or progress reports, or both, on specified matters.

3. Deferment of decision for a year or two, to give a new institution time to mature or a member institution time to recover its balance (and a sharp warning to do so) if it is slipping. Progress reports, and usually visits also, are stipulated.

4. Critical action:
    a. For an institution seeking initial accreditation, denial. The way remains open to try again, under advisement, and usually there is no set time interval before another try.
    b. For a member institution, requirement to show cause why its accreditation should not be revoked, usually within a period of one or two years. The institution has to present its case for continued accreditation through another full evaluation.

Since accreditation is based on an institution's own objectives for its students, obviously it does not reflect standardization. Its meaning has to be interpreted in relation to each institution's goals. It does not imply similarity of aims, uniformity of process, or comparability of institutions. The most significant aspect of accreditation is its effect upon the institution itself. The evaluation process requires each member institution periodically to review its own concepts, goals, and operations, supported by the expert professional criticism of a visiting team which reports to the institution and the Commission.

PERIODIC REVIEW OF MEMBER INSTITUTIONS

The FRACHE policy statement on periodic review of accredited institutions is as follows:

> A responsible accrediting program necessarily includes periodic review of accredited institutions, both for their benefit and to assure fulfillment of the accrediting Commission's accountability function. Such review should be geared primarily to institutional circumstances and the sophistication of continuing self-study on a given campus. The normal intervals for review should be five years following initial accreditation, and ten years thereafter. Every accredited institution is required to submit to its accrediting commission an annual data summary. In the fifth year of the ten-year cycle, institutions are required to submit an interim report reflecting their responses to the recommendations of the previous evaluation team and the rationale therefor, a description of the major changes effected since the last evaluation, and a summary of significant changes contemplated for the future. When an institution undergoes substantive change as defined by the Federation, or if its educational effectiveness is questioned at any time, the related accrediting Commission will be expected to take appropriate action. Each Commission reserves the right to review an institution at any time that circumstances require.
>
> It is the intent of the Federation to extend and intensify the value of self-study as an instrument for promoting institutional improvement and educational effectiveness. Ideally, institutional self-study should be an integral and ongoing activity on every campus, only indirectly related to calendars and accreditation, but strongly emphasizing the natural relationship between self-study and educational planning.
>
> The more self-study and evaluation are seen as directly related to institutional viability and quality, the more productive the self-study and evaluation process will be. At its best, the periodic review of accredited institutions provides a creative means of assisting institutions in assessing their educational objectives and their success in fulfilling institutional goals.

In accordance with this policy, each member institution of the Middle States Association is required annually to update its description and data summary on file with the Commission. Accreditation must be reaffirmed at approximately ten-year intervals, unless a substantial change in the nature of the institution, question as to its continued educational effectiveness, or other serious reasons move the Commission on Higher Education to re-examine it earlier. Initial accreditation is reviewed within five years.

After July, 1973, institutions in the Middle States region may meet the requirement for an interim report in the fifth year of the ten-year cycle by submitting to the Commission a letter-type report of not more than ten pages, signed by the President. This report will supplement the institutional data summary for the particular year and will focus on the major changes at the institution since the last evaluation, on any previously unreported responses to Commission recommendations, and on major plans for the next five years. The report submitted should present evidence 1) of how well the institution continues to achieve its major objectives, and 2) that it uses such institutional information to improve its academic program and other services. Such a report may be supplemented by a current long-range plan or similar document.

The Commission will review reports as they are received and will then respond appropriately to the institutions submitting them.

If an institution substantally changes its nature or scope within the ten-year period between evaluation visits, the changes do not immediately affect its accreditation, which continues for a period of two years. Within that time, however, the entire institution is reviewed rather than merely the changed features, and the accreditation as a whole is reaffirmed or withdrawn. (See FRACHE policy on Substantive Change, p. 86.)

In the event that an institution establishes a new unit or branch which is adjudged by the Commission to be operationally separate, that unit does not share the accreditation of the parent body or become accredited on its own until the evaluation process is completed. (See FRACHE policy on Operationally Separate Units, p. 86.)

PART IV

MAJOR COMMISSION DOCUMENTS

COMMISSION ON HIGHER EDUCATION
Middle States Association of Colleges and Secondary Schools
Gateway One, Newark, N. J. 07102 (201) 622-5800

Revised April, 1971

CHARACTERISTICS OF EXCELLENCE IN HIGHER EDUCATION
and
Standards for Middle States Accreditation

This document is the primary statement of standards endorsed by the Commission. A list of other documents which present some particular aspects in greater detail may be obtained from the Commission office.

The qualities and characteristics which distinguish superior institutions of higher education depend somewhat on the type of institution concerned, but they have important common denominators irrespective of particular settings. Among these common denominators, in the view of the Middle States Association's Commission on Higher Education, are:

- Clearly stated purposes and objectives.
- A board of trustees actively fulfilling its responsibilities of policy and financial development.
- Curricula which provide, emphasize, or rest upon general or liberal education.
- Programs which develop power to form independent judgment, to weigh values, and to understand fundamental theory, rather than solely to amass facts or acquire skills
- An atmosphere which stimulates the student to continue and broaden his education beyond the point he must reach to obtain his credits, certificate, or degree.
- Persistent concern as to the relation between objectives and outcomes.
- Emphasis on continuous intellectual and professional development of the faculty.
- Clear definitions of responsibility, with the educational process controlled by the instructional staff.
- Physical facilities proportional to the requirements of the educational program.
- Stability of resources to maintain the quality of instruction.

The statement which follows identifies principles and practices which the Commission considers characteristic of superior institutions. They are described qualitatively, rather than quantitatively. They include no formulas for specific application or endorsements of particular patterns of organization, for the Commission considers these to be the province of trustees, administration, and faculty. The institution must retain its sovereignty. The Commission's role is to stimulate thinking and provide standards for reference.

Purposes and Objectives

An institution should determine its purposes in receiving students and its objectives in offering them the experiences of its particular educational program.

A fundamental criterion of excellence in an institution is the extent of the awareness on the part of all concerned with it of its place and importance in relation to its students, its supporters, and the community at large. Every worthy institution operates in terms of certain fundamentals such as the discovery, preservation, and the dissemination of information, the development of student character, and preparation of its students to live in the world. These are long range goals, not to be confused with objectives realistically determined in the light of such factors as the purpose for which the institution was founded, the point of view it represents, the community in which it is located, the clientele it serves, the needs - social, cultural, and material - of its community and clientele, and the institution's resources - human, physical, and financial.

Naturally, the establishment of purposes and objectives through any such appraisal depends upon a continuing internal evaluation program.

Organization

Organization is here used to connote the plans and operations of the institution for advancing its purposes and attaining its objectives.

The overall control and support of these plans and operation is the responsibility of the Board of Trustees. In the hands and the authority of the Trustees is not only the approval and publication of the purposes and objectives, but also the general plan and structure of the institution and the provision of the support necessary for its facilities and personnel. The extent to which the Board is aware of and accepts its responsibilities, and its effectiveness in performing its mission, are of fundamental importance.

The President of the institution is responsible under the Trustees for the implementation of the plan, the staffing and maintenance of the organization, effective use of the support accorded by the Trustees, and the direction of the institution for the attainment of its objectives.

The administrative staff is the executive agency for these plans and operations. To be successful it must be well organized; the individuals composing it must be competent in their particular phases of administration; it must be adequately manned to carry on all of its work; it must, under able leadership, be so coordinated as to work effectively as a unit.

Effective organization depends on a carefully developed plan, usually referred to as statutes or constitution, defining clearly the responsibilites of the Board of Trustees, the president as the chief administrative officer, the dean and other officers, the faculty as a corporate body, and committees of the faculty and the Board of Trustees. Ordinarily, the statutes or constitution will be established by the Board of Trustees and the President. It cannot be said that a college or university is well established until it operates on a plan and can chart its organization graphically.

The various officers in an administrative organization should so function as to make their individual contribution to the administration of the institution without hindering the functioning of the administrative staff as a unit.

The competence of the individual member of the administrative staff is measured by his ability to organize, direct, and accomplish the duties officially assigned to him. This will entail not only aptitude for and interest in the work but also related training and experience. It will involve, further, a personality capable of working smoothly with colleagues and of dealing harmoniously with persons outside the institution.

An administrative staff, regardless of its organization and the competence of its individual members, cannot function successfully until it is properly manned to carry on the work that falls upon it. Members of the administrative staff should have the time and assistance necessary to enable them to discharge their duties efficiently. Assignment of multiple functions to one individual, or the assignment of administrative work as extra duty with or without compensation to full-time faculty members without due consideration of the full teaching and administrative burden, is evidence of administrative inadequacy.

The existence and work of faculty committees, whether statutory or ad hoc, is essential to the smooth and democratic operation of administration, but the work of such committee members should not interfere with the regular duties of teaching.

The chief administrative officers have ultimate responsibility for: appointment, supervision and support of the faculty; admission and supervision of students; and operation of facilities for the benefit of faculty, students, and also in many cases for the community.

The selection and supervision of the faculty is, of course, fundamental to the teaching function. Proper manning of the instructional staff through continuing alertness to program requirements, and adequate salary schedule, allowance of time to devote to professional advancement, equitable schemes for tenure, promotion and retirement, and attention to needs for improved teaching facilities are essential. A role for faculty in institutional governance is usually a necessity for continuing healthy faculty morale.

Individual competence for the work of the institution should be the primary factor in selection of trustees, administrators, and faculty members, not sex, race, or other irrelevant qualities. Colleges which admit women students should provide women staff members to work with them in at least certain personnel areas, and all institutions should give equal consideration to women for membership in the governing board, administrative staff, and faculty. They should serve under the same conditions as men.

An important index of an institution's calibre is the appropriateness of its admissions policy as evidenced in requirements, standards, and procedures. The policy must be clearly stated and related to the objectives and resources of the institution. Likewise, programs and services must be formulated in relation to the admissions policy. A college which maintains an open door policy must make adequate provision for testing, counseling and compensatory services.

Similarly, one which has a very selective admissions policy must ensure sufficient challenge and stimulus for its students. In all cases, there should be a demonstrable correlation between admissions policies and educational practices.

Selection and supervision of students require a well organized student personnel program, extending from recruitment to placement after graduation and alumni organization. The student personnel program should be concerned with advisement, discipline, health, government, athletic and non-athletic activities, and student-faculty-administrative relationships. Student regulation should be realistic and clearly stated in appropriate official publications. Information about fees and charges and the institution's explicit policy with respect to refunds of payments should also be generally available.

The preparation of a budget for annual operation is the ultimate responsibility of the President and administrative staff of the institution. The budget is based on complete estimates of income and expenditure, checked for accuracy and considered by a budget committee in terms of institutional resources, needs and plans. The budget when complete is presented by the President to the Trustees for their consideration and adoption. Once adopted, it should control the institution's operations, subject to amendment by the Trustees as necessity arises.

Resources

The word resources is here used to denote the material and tangible support of the instructional program. This includes funds, instructional buildings, library, laboratories, athletics plant, student activity buildings, campus, residences, instructional material including library holdings, laboratory and shop equipment, audio-visual aids, etc.

The provision of funds has already been referred to as a function of the Trustees. In this connection it is part of their duty to know and employ the institution's full resources, including not only the income from investments, public funds, student fees, or a religious denomination, but also the resources latent in community good will and public generosity. No institution has such abundant resources that their utilization cannot be increased by wise planning.

An institutional development plan should be based on a working definition of the term "adequate resources" as it applies to plant, equipment, materials and money to support the work of instruction for its particular student body. Any serious deficiency is bound to attenuate the quality of work done, and in the long run to prevent or delay attainment of objectives.

Of equal importance with knowing the resources required, and planning to meet the requirement, is proper management and use of the institution's plant, equipment, materials, and money. To this end qualified personnel are needed, with particular attention to the professional training and experience of financial officers, librarians, heads of maintenance, and directors of any auxiliary enterprises. Working conditions and pay schedules for operational staff shoud be in line with those prevailing locally.

It will be noted that no mention is made here of required minima for endowment, fixed income per student, library holdings, square feet of instructional space per student or other fixed measures. The adequacy of each institution's resources must be judged in terms of its objectives and programs.

Program

The program of an institution is here considered to cover the entire body of plans and operation the institution offers in support of its objectives, including both instructional and non-instructional activities. There must always be a sensible and demonstrable relationship between stated purposes and objectives and the actual program.

The curriculum, designed to reach institutional objectives while meeting the needs of the students and of society, is central.

All courses in the curriculum should be organized and presented so that they will contribute to the total growth of the student as an individual. The curriculum must be projected to meet these requirements, but it must also be related to the available personnel and resources of the institution.

The curriculum for graduate study should provide for the breadth of research and stimulation of independent thinking which work on the graduate level pre-supposes and develops.

Curricula in technical, specialized, or professional fields should evidence recognition of the relationship between broad education and the acquisition of techniques and skills.

Every curriculum should substantiate the institution's desire to educate broadly for individual excellence and social awareness and interest.

The curricula should be under the constant evaluation of the faculty, with modifications being made as changes in the educational situation require. Provision for this evaluation and the planning which should parallel it are essential. Intelligent, directed experimentation should be encouraged.

The place of the faculty in the program is to supply the instruction necessary to make the curriculum effective. Clearly, in order to supply proper instruction, the faculty must consist of competent, well-educated, interested individuals, each prepared fully to accept responsibility to maintain his professional competence at a high level.

The quality of the instruction offered by an institution clearly determines the benefit which students will derive from the curriculum. Instructional methods should vary with the subject matter, the effort being to evoke a response from the student and to stimulate his participation in the educational process. Audio-visual materials, field trips, and other associations with illustrative real experience should be systematically worked into the program.

The effectiveness of the library is of paramount importance. Its collections should be appropriate and adequate to support the instructional program, and they should be widely used by both students and faculty. The faculty and the library staff need to work closely together in planning the development and employment of library resources to achieve their educational objectives, and also to stimulate recreational reading. The head librarian must demonstrate the competence and be given sufficient responsibility and funds to conduct his work properly. His faculty status should be commensurate with the significance of his task.

The results of the instructional program should be determined in as objective a manner as possible. It should be in keeping with evidence relating to the ability of the entering students and to their progress in college. Standardized tests, when available, may be used either as supplements to or substitutes for regular course examinations as a means of obtaining objective data.

The catalog is the official medium wherein the program of the institution is described. Its statements should be in keeping with its importance as the document setting forth the relationship between and the obligations of both the college and the student. It should contain a statement of the objectives of the institution, a complete roster of the faculty showing earned degrees and the institutions granting them, a statement of entrance and graduation requirements, and a description of all courses to be offered in the year for which the catalog is printed.

Activities such as student government, intramural and intercollegiate athletics, dramatics, journalism, music, social affairs and others are supplements to the formal instructional program. They should reflect student interests and student-faculty cooperation in planning and be integral parts of and contribute directly to the effectiveness of the total educational program.

Activities and facilities supplementing the formal instructional program may include access to observatories, research institutes, art galleries, museums, organized off-campus service and travel programs, computational equipment, and the like.

Outcomes

The deciding factor in assessing any institution is evidence of the extent to which it achieves the objectives it has set for itself. Such evidence is, of course, difficult to assemble and to evaluate, but the necessity of seeking it continually is inescapable.

A plan for the measurement of outcomes may well have these sections: first, an evaluation of undergraduate scholastic achievement, taking the form of comparison of scores in standardized tests with the results of placement examinations taken at entrance; second, a study of the performance of graduates in graduate and professional schools; third, a long-term study of the achievements, both vocational and avocational, of the alumni, based on data gathered periodically and systematically. This will obviously involve continuous cooperation between the alumni office and the administration. An intensive study of one class from entrance through graduation and beyond may be fruitful.

NOTE: This is one of a series of documents published by the Commission on Higher Education. While each document may be used separately, each should also be viewed in relationship to the document entitled Characteristics of Excellence in Higher Education. A current list of publications is available from the Commission's office.

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COMMISSION ON HIGHER EDUCATION
Middle States Association of Colleges and Secondary Schools
One Gateway Center, Newark, New Jersey 07102 (201) 622-5800
Revised July 1972

CONDITIONS AND RESPONSIBILITIES OF PROFESSIONAL EMPLOYMENT IN HIGHER EDUCATION

Each institution determines its own conditions and responsibilities of professional employment, based on principles of equity and due process. A faculty manual should present clearly and concisely an institution's policies and procedures related to professional employment, and all arrangements between individuals and institutions should be stated and accepted in writing.

Recruitment

Effective recruitment of faculty and staff is one of the most important factors determining the character and quality of an educational institution. Since the president is responsible to the trustees for guiding the institution's development, he must approve appointments of new personnel. However, others can play a major role in finding, screening, and recommending applicants, for better candidates are likely to be found and interested by joint efforts. Moreover the strength of an educational institution depends on more than the ability of individuals: it is the product of mutual respect and harmonious cooperation among able people, conditions which are promoted by their participation in selecting their colleagues.

The role of trustees in staff employment is to discuss with the president the quality, type, and number of appointees needed; to insist that he make no avoidable compromise as to qualifications and allow no extraneous consideration to affect his judgment and that of others on the campus; and to give him early decisions on the instructional budget so that he can make advance commitments. Their concern should be to keep his aims high and to resolve the financial or other problems which limit his choices, while leaving the selection of individuals to the professional judgment of the president and his colleagues.

Faculty members, department and/or division heads, and deans should be called upon to help canvass the sources of supply, interview applicants, and make recommendations to assist the president, for they are likely to be in closer touch with qualified candidates in particular fields. Students may also be involved in the process. Selection should follow examination of academic records, confidential inquiries regarding the applicant's professional qualifications, and a series of planned interviews on campus to which the candidate is invited at the institution's expense. Care should be exercised to avoid excessive inbreeding and parochialism in offering academic appointments.

When a formal offer is contemplated to or is received by a person employed elsewhere, the right of the other institution to reasonable notice and to the fulfillment of an existing contract must be respected. It is unethical to break an existing agreement in order to take a new position. An institution which already employs an individual may choose to release him, but it is grossly unprofessional for him to insist upon release or to fulfill his contractual obligation as if under duress. It is equally unethical for an institution to employ one who breaks a contract, or to entice a faculty member or administrator from another institution at a time which seriously dislocates its work.

Candor between institutions is essential when one approaches a staff member of another. The individual should expect present superiors and colleagues to receive inquiries about him. A request not to get in touch with them creates a questionable situation which at the least needs to be fully explained. An institution should normally be told immediately when an offer is made to an individual on its staff.

A faculty member or administrator who wisnes to resign from one institution to take a position at another should give notice of his intention and request release about six months before its effective date. The institution which seeks his services should make a firm offer early enough to permit him to give at least six months notice, unless his present superiors freely agree to a shorter period.

Appointment

Contracts or letters of appointment and documents which accompany them should specify the appointee's title, salary, general nature of the work assignment, to whom the individual is immediately responsible, the portion of each calendar year and number of years covered, and any limitations or special provisions. Conditions should be clearly stipulated under which the contract may be abrogated by either party alone or by mutual consent, the means for doing so, and the date by which renewal will be offered and accepted if institution and individual wish to continue their relationship. Reference should also be made with respect to emphasis on and evaluation of teaching and/or research.

Continuity is exceedingly desirable in academic employment, but it must be a continuity of competence and vigor. Employment terms therefore include a probationary period during which institution and individual become acquainted under working conditions and the institution's officers determine whether the individual is apt to increase in effectiveness and retain his enthusiasm if he receives a continuing appointment. An institution should establish a probationary period of sufficient length to permit careful assessment of professional competence and should not exceed it except under unusual and clearly understood circumstances. It may shorten the period for individuals whenever such a decision seems appropriate. Typical initial appointments might be for one or two years followed by extended renewals or tenure, with the provision that at least a year before the appointee completes the maximum probationary interval he will be fully apprised of his status.

An institution's policies in these respects need to be precisely stated and scrupulously executed. There must be written notice of intention at each step. The purpose is to inform and protect individuals during trial appointments, while guarding the institution against premature assumptions and against drifting into permanent relationships unintentionally.

Tenure

Tenure is a long term appointment in which a faculty member's employment will henceforth be continuous as long as he performs the work for which he is currently engaged and remains an acceptable member of the academic community.

Tenure benefits the individual directly in that it protects against arbitrary dismissal without obligating him to remain in a particular institution. Tenure rules and practices ought not protect a faculty member whose work or scholarship deteriorates. They should guarantee a fair hearing and equitable adjudication, but the institution must retain the right after due process to dismiss without obloquy

one who has failed to live up to his professional obligation. Specifically, employment under tenure should be terminable after due process for: failure to perform services for which a person was engaged in accordance with recognized professional standards; failure to grow professionally; failure to observe contractual obligations; moral turpitude; total disability as determined by the institution; discontinuance of the work for which one was employed; or because of demonstrable institutional financial exigency.

It is imperative to arrange procedures for adjudicating tenure breaches before they must be used. The mechanics should be as simple, direct, and confidential as proper safeguards for competent and unprejudiced determination allow. They customarily require that the causes of complaint be described in writing for the benefit of both parties; stipulation that an appropriate group to hear them shall be selected in a prescribed way if direct negotiation fails; assurance that the accused party shall have benefit of counsel of his own choosing and the right to confront and question his accusers; assignment of responsibility for action on the judgment; and reasonable severance provisions.

Stability and confidence are equally desirable in executive, administrative, and managerial appointments, but the nature of the trustees' responsibility requires that they be able to remove a president from office if necessary, and good administration must give him the same authority over administrative appointees. Individuals having dual appointments may have tenure in their faculty position but not in their administrative posts.

Academic Freedom

Academic freedom and job security are not synonymous and should not be contingent on each other. Regardless of whether faculty members hold probationary initial appointments or are on extended contract or permanent tenure, the same principles of academic freedom must apply to all. Academic freedom has to do with a method of inquiry rather than with the personal views of the inquirer. It gives one the right as a scholar, and implies the obligation, to examine all data and to question every assumption. It debars one from preconceived conclusions. It obliges a teacher to present all information fairly, because it asserts the student's right to know the facts.

Academic freedom does not require neutrality on the part of either an individual or an institution. It is consistent with earnest and declared efforts to advance a particular point of view, if it be insisted that complete access to the facts underlie the argument and that the argument be plainly distinguished from the inquiry. To restrict the availability or limit the presentation of data or opinion, even though they may be considered erroneous, is to deny academic freedom.

If these principles are accepted as positive guides for action, an institution of higher education may legitimately announce the point of view or religious position to which it is committed, and, if it chooses, engage only instructors who adhere to that position. They may even be employed on condition that they will resign if their views change, but meanwhile they must be permitted to know and teach their subjects, including the controversial aspects, completely and objectively.

Every institution owes the public a clear description of its educational philosophy, whatever it may be. It owes its faculty members a definition of what it means by academic freedom, and details of the mechanics by which either alleged violations of the institution's philosophy by instructors or charges of breach of academic freedom by either side will be dealt with. In academic freedom cases adjudication by a disinterested party is essential. The faculty, administration, and trustees should work out the procedures together.

Salaries and Promotions

Competitive salaries are of course a primary factor in staff recruitment and retention, but there are others which also help make positions attractive and strengthen morale. They include announced salary ranges (by academic ranks if a rank system is used), published criteria for promotion and salary increases, and insurance and other fringe benefits.

Salary plans ought to be explicit so that a staff member knows what to expect, but the stages should be so described that the administration is able to advance especially valuable people more rapidly than others. Specific criteria for advancement and merit salary increases should be developed by the administration and faculty together, for application by the administration with the advice of a faculty committee or other group.

Skill and enthusiasm in teaching will of course be primary requisites for advancement in any position involving instruction. The institution therefore needs carefully established procedures for discerning good teaching and reviewing periodically the performance of all faculty members.

Criteria for promotion should define what the institution requires in the assumption of responsibilities outside the classroom and the importance it attaches to scholarly or creative work. Institutions may properly differ in these respects, each taking a position in accordance with its own philosophy and objectives.

A staff member should be informed in advance precisely what his basic salary for all work related to the appointment is to be for a definite period and how and when it is to be paid. Offering a full-time instructor extra pay for additional work during the period covered by his regular salary, except to meet an emergency, makes suspect either the institution's definition of full-time work or its concern for the future competence of its faculty.

Academic Loads

Strict teaching load rules are unrealistic in application, and undesirable in principle in that they limit experimentation and the accommodation of individual differences. Even general policies vary because academic load formulas in conjunction with other administrative measures can be used to help an institution control the emphasis its faculty members place upon the several aspects of their work, and institutions differ as to where they want or can afford to place the emphasis.

Most faculty members assume advisory, committee, and other non-instructional responsibilities in addition to teaching. As scheduled teaching loads and non-instructional obligations pile up, time diminishes for two other essential activities: the teacher's continuous preparation, and his personal scholarly work. The function of an academic load policy is to protect these activities, which have direct and intimate relation to the quality of instruction and the institution's intellectual life, and to ensure the instructor time for reviewing and criticizing student work. A teaching load rule is not a device to guard the instructor from an undue burden, but a plan to use his professional services most productively for the institution. It should be part of a system of incentives, recognitions, and rewards to stimulate faculty productivity of the kind the institution wants and has implied in its objectives.

An initial question in establishing an academic load policy is whether part of a faculty's time is being dissipated in unnecessary diversification. Many institutions could consolidate and reduce their course offerings without real loss. Another step is to assess in a general way demands on an instructor's time and energy created by different types of teaching. The number of students in a class is a significant consideration when student writing for criticism is required, but might be immaterial in a lecture course. Hours spent in laboratory, studio, and shop work are usually weighted differently because they involve different kinds of preparation and concentration. If the institution provides no assistance for an instructor when extensive physical preparation of a laboratory is required his setup time might be included, although this is likely to be an expensive way to get non-professional work done.

Another element in the academic load is the efficiency of committee work. Is the faculty's time being used to best advantage in all its non-instructional activities? Is there a proper distinction between legislative and administrative work, with each properly assigned? Is every decision made by the fewest individuals competent to make it? Might the available salary money produce better results if more of it were spent for clerical help? Is the class schedule the best compromise between the interests of students and the welfare of the faculty?

An academic load rule is a guide, not a formula for equating work as disparate as college and university faculty members perform. It must be interpreted and applied by the administration with discretion rather than imposed mathematically.

Development of Teaching Competence

Each institution needs some kind of continuing program to develop the teaching capacities of new and inexperienced instructors. Such programs are often quite beneficial to more experienced teachers as well. Many institutions and faculty groups organize regular seminars, discussions, and teaching demonstrations for new faculty members to introduce them to the curriculum and help to develop their competence. Voluntary mentor-intern relationships between experienced and new faculty members are used on some campuses; TV and audio tapes for confidential or other review of personal teaching style and technique are used on others. Training and/or good orientation programs, coupled with an effective plan for teacher evaluation, provide the basis for a viable promotion and reward system and will help to insure that vital teaching exists on the campus.

Outside Employment

A full time position by definition means that one is engaged for the whole working day and week. No other gainful occupation during those hours would be expected, at least without the expressed consent of the major employer. The only restriction which this employer has a right to impose upon an individual's use of his own time after he performs a reasonable day's or week's work, is to debar activities which involve a conflict of interest or tend to lessen his value to his principal employer.

Defining a professional's work week is so difficult that institutions are apt to approach it in reverse by indicating the portion of time in which one is free to accept outside employment, subject to administrative approval. Additional teaching elsewhere is usually disapproved. The major criterion often employed is whether the proposed outside employment enhances the professional preparation or standing of the individual.

In some fields, as for example art, music, and medicine, a combination of teaching and professional work is sometimes permitted because the virtuoso performer is considered the best teacher, and constant practice is necessary for superior performance. Use of the principle has to be guarded, for it easily gets out of hand. Every faculty takes character from and must rely chiefly upon its full time staff, which should carry the preponderance of its teaching.

One institution sometimes permits another to engage part of the time of one of its faculty members, either to assist the second institution in an emergency or because neither one requires his full services. Cooperative arrangements of this kind can be quite advantageous if the terms are clearly understood and the total load is reasonable.

Leaves of Absence

A policy of granting occasional leaves for study, research, or professional activity is a powerful attraction for the kind of faculty members and administrators every institution wants, especially for younger people in their most alert and productive years. They ought to be thought of as productive investments in professional development. This may also be a deciding factor in holding valuable teaching and research people who are tempted to go elsewhere. Leaves of absence will not make up for inadequate salaries, but they may be an effective supplement to a necessarily modest salary scale.

The system of leaves of absence should extend to administrators, including presidents, as well as to teachers.

Obviously leaves must be supported financially by the institution or by outside sources, for few academic people and virtually none with growing families can finance periods of full time study and creativity independently. A constructive leave policy should base grants upon definite projects which have been developed by the individual concerned and approved by colleagues who are competent in the field of study; should require a formal report upon completion; and should be preceded by an agreement to return to the sponsoring institution for at least a minimum period after the leave.

An institution should have equitable rules for sick leaves and emergencies, clearly stating and defining its obligation but flexible enough to take personal considerations into account.

Collective Bargaining

Faculty members organized in a collective bargaining unit have an obligation to ensure that negotiations with an institution's officers, Board of Trustees, and/or other designated officials are conducted in such manner as to sustain the functioning of a campus as an ongoing educational operation fulfilling its objectives and safeguarding the basic rights of teachers to teach and students to learn. They must be sensitive to the needs of the academic community. Likewise, an institution faced with lawful organization of employees on its campus should strive to derive the maximum benefits attainable from interaction with the bargaining unit.

On campuses where all employees are not organized, the institution should treat unorganized groups in an equitable fashion just as it seeks to satisfy legitimate, reasonable and appropriate requests by organized groups. The climate of reason and order which should prevail on any campus will dictate that institution-bargaining unit relationships be cooperative and forward-looking rather than adversary and disruptive.

Retirement

Retirement plans recognize that academic life is strenuous and that most people's energies decline in later life. They provide for relieving staff members in orderly fashion at appropriate times, shifting the decision from individual determination to equitable principles and providing some flexibility of operation.

Almost universally, academic retirement plans allow either the individual or the institution to modify or terminate a staff member's employment at a specific age, often 65, permit earlier retirement at 55 or 60, and permit the institution at its discretion to re-employ retired personnel on a year to year basis, usually in a new status. Some institutions add a rule that department heads, where rotating chairmanships are not employed, shall relinquish their administrative positions at an age earlier than mandatory retirement in order to encourage development of new leadership.

The retirement rules should apply to the entire staff, including the president. Almost never should a retired president remain on the staff in any capacity, on the board of trustees, or in the vicinity of his institution. A retirement age for active service as a trustee is also desirable.

Emeritus status is an honorary position involving social and ceremonial participation in the institution's affairs, to which faculty and staff members may be elected or appointed upon retirement from long and honorable service. Emeritus or honorary status usually provide the right to attend meetings without voting privileges.

Pensions

Any reasonable academic employment policy assumes some degree of financial responsibility for retired staff members. A funded pension program has the advantage of placing the matter on a dignified and self-respecting level for the individual, of releasing him from the necessity for desperate saving when he should be spending part of his income for cultural and professional advancement, and of relieving the institution from heavy fluctuating pension payments from current funds.

In many instances pension accounts and funds are administered by public or endowed nonprofit agencies whose own income reduces the overhead charges they must pass on to their subscribers. Some of these nonprofit agencies have the additional advantage of being so widely used that benefits earned in one institution are usually readily transferable to another when a staff member takes a new position. Social Security is customarily added.

NOTE: This is one of a series of documents published by the Commission on Higher Education. While each document may be used separately, each should also be viewed in relationship to the document entitled Characteristics of Excellence in Higher Education. A current list of publications is available from the Commission's office.

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COMMISSION ON HIGHER EDUCATION
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FUNCTIONS OF BOARDS OF TRUSTEES IN HIGHER EDUCATION

Many different kinds of structure and procedures characterize the governing boards of American institutions of higher education. A board's effectiveness does not depend on adherence to any particular pattern but on the clear understanding of its function and acceptance of responsibility for it. This document presents some primary aspects of the governing board's role and of generally accepted principles under which successful boards work.

Trustees of higher educational institutions are responsible for long range policy and planning, presidential relations, developing financial resources and support, and a major role in external relations.

Institutional Planning and Policy Formulation

The trustees represent the founders, benefactors, and the public in directing the accomplishment of the purposes for which an institution was established.

These steps are involved: (1) understanding what the institution was created to accomplish; (2) interpreting, clarifying, and relating its aims to present-day conditions; (3) helping others understand them; and (4) planning to assure its continuity and effectiveness.

Charters, articles of incorporation, historical records such as minutes of sponsoring bodies and similar official documents usually tell why the institution was organized. These basic statements are binding, unless they have been legally changed. The difficulty is that they are usually too general to give trustees precise guidance. Yet trustees can not make wise plans and decisions without a clear understanding of their mission. If a precise statement of this mission has not been given them, they must have one created by reducing to explicit contemporary terms the general directives of founders and benefactors. A declaration of institutional objectives thus produced will define the institution's aims so sharply that administrators, faculty, students, constituency, and the trustees themselves can test the validity of the institution's programs by it and use it as a plan for action to stimulate, guide, and control its development.

Many other factors influence trustees in interpreting an institution's aims. Tradition, the nature of the sponsoring group, the hopes, desires, and expectations of the constituency to be served, the point of view of the particular academic community, and practical educational considerations are among them. Understanding and assessing all these forces is a large undertaking. Fortunately college and university trustees have available in the academic community a wealth of experience and intellectual power which they can use to immense advantage in formulating the declaration of objectives and plans for the future of the institution.

They have this advantage also when they draw up or revise basic operating policies which follow and rest upon the definition of objectives. Such actions are apt to have ramifications which no one person or group can foresee. Therefore it is wise to give full scope for discussion. The president and faculty have to live with the decisions even more than the board does. They are more intimately affected. Furthermore their educational experience is usually broader than the board's. The board itself must make the ultimate basic decisions but an alert board will encourage thoughtful initiative on the part of the president and faculty in sharpening issues and shaping the answers. This may be facilitated by maintaining regular channels for discussion with faculty and student representatives, such as joint committees and occasional quasi-social events. The president should always be included.

Relation to the President

The president is the executive officer of the institution through whom the board carries out its program and exercises its control. His selection is one of their primary concerns. They may be limited by legal or other considerations and their action may require confirmation by another body, but the power to select (and when necessary to replace) a president is essential to the board's proper functioning. Once chosen, the president is responsible to the board for executing its policies, receiving support and encouragement but without interference.

Good relationships between board and president are fostered by clear job analyses in three areas: the board's duties, the president's, and the faculty's as an academic body. The board will need the help of the president and faculty in formulating such functional descriptions. But approving them, giving them effect, and revising them as experience accumulates or conditions change are the board's responsibility.

Their duties are closely related to those of the president and his administrative staff and to those of the faculty, but distinct from them. The president is the board's adviser and the institution's executive officer. The faculty is the professional body which, under the president's leadership and with the advice of others in the college community creates and operates the educational program. The trustees exercise their control through the president. He can work effectively only if he is given full responsibility and complete support, including the resources to carry out the program the trustees have approved.

The president should always attend board meetings, and is usually the only administrative officer who is a member of the board. His membership and attendance should terminate automatically when he vacates the presidency.

The president must keep his trustees accurately informed on the institution's affairs. He should consult the trustees, and they him, on major decisions. He should be expected to have opinions of his own and to defend them before the board, but to adhere faithfully to board policy once it has been established or relinquish his office.

The president is the official channel of cummunication between the professional staff and the trustees. Whatever mechanisms are used to get the benefit of faculty and other opinions on such matters as basic curricular decisions, the budget, and conditions of employment (appointment, promotion and retirement policies, salary scale, tenure, pensions, academic freedom, etc.), sound administrative practice allows neither side to by-pass the chief executive officer. As long as the trustees retain a president in office their only possible way to obtain effective administration is to

work with and through him. Similarly, as long as a president retains his office he is obligated to carry out his board's policies. He has every right to try to change the board's opinions but not to ignore or circumvent their actions.

Both president and board should understand that tenure does not apply to any administrative position, although it should protect an individual's membership in the teaching faculty if he holds a dual appointment. If a president is unable to accept and execute a major decision of his board and the board is unwilling to change it, he is obligated to resign his office. If a president proves incapable of conducting an institution's affairs successfully or unwilling to conduct them in harmony with the trustees' wishes the trustees are obligated to replace him.

Discharging a president is an exceedingly serious step, to be taken only after all other recourse has failed, but it is an action the trustees have no right to evade. The good of the institution takes priority, subject only to normal ethical considerations.

Financial Development

As custodians of an institution's resources trustees should hold title or be the leaseholders of its property and oversee management of its investments. They should retain direct control over major changes in the physical plant and indirect responsibility, through the president, for its maintenance and repair.

Trustees determine an institution's budget, setting fees and other charges. Budget making is a powerful form of control. Obviously this is one of the areas in which there must be the closest understanding and cooperation between president and board. Unquestionably the board has final authority over budgets and expenditures. Just as unquestionably they need the professional judgment and experience of administrators and faculty in deciding how best to use the institution's resources. The professional staff's recommendations require thoughtful consideration, but ultimately the board must decide.

In financial affairs the trustees must confine themselves, as they do in academic matters, to basic policy, holding the president responsible and accountable for internal operations. For the board to dictate accounting systems, to control budget expenditures, to interview prospective appointees, or to expect the institution's business officer to report directly to them rather than through the president invites trouble. Good administration always combines responsibility and authority.

No institution ever has enough money. The better it is, the wider and more compelling its opportunities will be. But an educational institution differs from a commercial enterprise in that it can not increase its profits by larger sales and greater diversification. Since student fees rarely cover the real cost of the student's education, larger enrollments may increase costs more rapidly than income, except for adjustments in the efficient size of units. Diversification of educational programs costs more than integration. Graduate work costs more than undergraduate. Invariably, the gap between cost and income in a progressing educational institution must be closed from sources other than fees.

The most common sources for private institutions are endowments and gifts. Colleges conducted by religious orders often have the equivalent of significant endowments in the contributed services of their members. Public institutions receive direct aid, usually in several forms. Both public and

private universities frequently seek what may be an important percentage of additional income through sponsored research and other services, although the true costs of these enterprises are so difficult to determine that their net yield may be smaller than expected.

The trustees must cultivate all appropriate sources of income. They fail in their responsibilities if they seek to balance the budget merely by curtailing expenditures. They must guard against unjustified expansion and they must require efficiency, although efficiency is difficult to judge in higher education - effectiveness is more important - but the trustees must also find continuing support for improvement.

In private institutions, this is a part of their financial obligation which trustees sometimes forget. It is not primarily the president's responsibility to raise funds - it is the trustees'. They need the president's leadership, but the actual responsibility rests on the board, collectively and individually. One vital factor in assessing the effectiveness of a board of trustees is the extent to which they (a) contribute personally each according to his means, and (b) obtain contributions from others.

There is one recourse which trustees should not take: they should not divert the purpose or dissipate the principal of endowment funds which were given for permanent investment. The precise terms of a gift usually govern this completely. Money given without restriction as to use, or which is an accumulation from previous surpluses, can be used for current expenses even though it has been functioning temporarily as endowment, but the principal of restricted funds should never be. Although trustees are given considerable latitude in the investment of endowment fund assets, they must be prudent in discharging this responsibility.

External Relations

It follows from the trustees' financial responsibility as well as from their dedication to the total welfare of the institution that public relations will be one of their primary concerns. They will encourage and support the efforts of the president and staff, but their most effective service in this connection will be as direct representatives and interpreters of the institution to the public. Trustees have one great advantage over the professional staff as emissaries of a college or university: they have nothing to gain personally. With intimate access to many diverse groups their detached position inevitably lends weight to their views and appeals. Board members must be keenly aware that their friends and acquaintances are likely to see the institution through their words and attitudes. They must be equally sensitive and discerning in interpreting the public to the institution.

In public institutions (and some private), relations with government bodies and with coordinating boards or agencies constitute another important part of the external relations responsibilities of trustees. This is inescapably tied to their planning function and to financial development.

Other Responsibilities

Trustees necessarily deal with many matters in addition to their primary functions. Among these often are: approving introduction or deletion of curriculums, but not of particular courses; confirming appointment of major academic and administrative officers; establishing salary scales; dealing with controversial questions in such areas as research and intercollegiate athletics; approving

statutes and bylaws; and handling the institution's legal affairs. They receive through the president the periodic reports of its officers, committees, and auditors; they serve as a court of appeals; they award degrees.

Personnel for the Board

Trustees, although they are not usually educators themselves, profoundly influence and often control the direction of higher education. The implication is obvious: the personnel of the board is of fundamental importance.

The first requisite is an orderly and intelligent method of selection. It should ensure a knowledge of the institution's needs on the part of the selecting authorities and the widest possible range of choice. The search for talent should be continuous, and the process of appointment deliberate.

Acceptance of trusteeship should also be deliberate, for while appointment is an honor and an outstanding opportunity for service, no man or woman of conscience will undertake so serious a responsibility without being prepared to give it the substantial measure of time and energy it demands.

No trustee should enter into a business relationship for his own gain with an institution on whose board he serves. To do so is ethically questionable, open to misinterpretation, and frequently illegal.

There is much to be said for a time and age limit for remaining on the board. There are many ways in which able and experienced individuals can serve the institution and be honored for it after they have left the board. Continuity is certainly desirable but so is the development of new strength and interest. A forward-looking trustee is more eager to build for the future than to hold his own board membership indefinitely. There should be specific provision for removal of inactive or otherwise ineffectual members of a board.

There is no substitute for an able and informed governing board which understands its functions and discharges them competently.

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THE LIBRARY
or
Learning Resources Center

The primary characteristic of a good educational library is its complete identification with its own institution. The measure of its excellence is the extent to which its resources and services support the institution's objectives.

Every library must therefore be considered in its own setting rather than by comparison with general patterns or norms, because each library must support a particular educational program. The prerequisite for establishing, enhancing and evaluating the library accordingly is an exact description of the institution's mission and of the means by which the institution proposes to fulfill it. Given that, scholars can identify the resources they must have to accomplish the task.

The process of examining the effectiveness of the library can be summarized in a series of questions: What access to the world's intellectual and creative resources does this institution's educational program require? To what extent are these resources now available and accessible through the library? How can their availability and accessibility be increased and their use encouraged?

Obviously no one person can make an evaluation of this kind, nor can professional librarians do it alone. Identification and appraisal of the materials to support instruction and stimulate research in a given field demand a scholar's knowledge plus a librarian's skill. Analysis of the use which students and faculty are making of the library and the reasons for it is aided by intelligently designed statistical records, but goes beyond them into educational philosophy and teaching methods. Library specialists can organize and give technical competence to such a study, but must depend on their professional colleagues to identify the resources required to meet the full needs of undergraduate students, the basic needs of advanced students in each field in which the institution offers such instruction, the professional research requirements of the faculty, and for estimating the strength of the collection as it stands. The librarians who work with them must guard balance and coverage, which means that they must have a good general knowledge of the scholar's field and of the teacher's problems.

These considerations suggest the characteristics of a good librarian. He and his professional colleagues are responsible for the administration and development of a major element in the institution's intellectual life. He needs the skill to direct a highly complex organization well, but his thinking and planning must be that of a teacher and scholar, not a curator or technician. He must be chosen with the same care and under many of the same criteria as other high-ranking faculty members. Professional qualifications alone are not enough. He must know what scholarship is and what teaching entails. He must demonstrate the competence to merit the respect of his colleagues as an educator, and be given the status that will enable him to speak with equal voice in their company. He and his professional assistants must have an effective place within the faculty councils in order to relate the library properly to the curriculum and to ensure good communications in both directions.

Building and evaluating the library involves a study of faculty attitudes and teaching methods. The faculty is deeply concerned with the library: it is of primary importance in their instructional program and in their own professional growth. They ought therefore have an important voice in determining its objectives and a constant advisory relationship to the head librarian, although he should report in his administrative capacity to the president or dean. An alert faculty never allows a library to suffer from neglect or to diverge from the educational program. Neither does a good faculty meddle with internal administration or attempt to deal with technical details - it participates in establishing objectives and general policies, and expects the librarian and his staff to give them effect.

The faculty usually operates through a standing committee of which the librarian is a member, perhaps secretary, which meets regularly in an advisory capacity, keeps itself thoroughly informed, guards and advances library interests, and reports frequently to the faculty for discussion, counsel, or confirmation. The importance which this committee's work can have for the institution warrants selecting its members with great care from among those who are most interested in the library, use it extensively themselves, and understand the difference between advisory and administrative functions.

The use the students make of the library - the ultimate test of its effectiveness - is not an accident. It is the result of many forces, including habit, convenience, the ready availability of the materials the students want, the attractiveness of the setting, staff personalities, and the way the librarians and instructors work together. The quality and amount of library use is one of the clearest indices of the kind of teaching students are getting. If statistics or observation suggest that the library may not be serving as fully as it might or is being used as a study hall with books from outside, it is often the sign of lecture-textbook or other unimaginative teaching. A stimulating instructor creates an inquiring student, who develops resourcefulness because he wants more than routine methods will give him. Thus good teaching and good librarianship unite to produce skilled, self-reliant, habitual library users. Independent and honors work provide an especially favorable climate for it.

Evaluation

Clearly, when one evaluates a library the emphasis should be on the appropriateness of the collection for the instructional and research programs of the students and faculty, its adequacy in breadth, depth, and variety to stimulate both students and faculty, its accessibility, including proper cataloging, the competence and interest of the staff, and above all what happens in the reading and reference rooms. Statistical comparisons need to be handled with caution. Percentages of the educational budget spent on library service and growth, per capita expenditures, number of volumes, circulation figures, and ratio of staff to students and of students to seats often provide suggestive leads, but they should be studied in context and perspective.

When the institution's objectives and its curricula have been analyzed and the resources and services the library ought to provide to support them have been described, questions like the following may clarify the final stages of the problem. Others will suggest themselves to evaluators (internal or visiting). They must be dealt with candidly and objectively, of course, and every negative answer should be coupled with a practicable recommendation.

1. Is the library book stock sufficiently broad, varied, authoritative, and up to date to support every part of the undergraduate instructional program?

2. Is there adequate additional strength in source, monographic, and periodical materials for any graduate work, honors work, and research which is offered or proposed?

3. Are the institution's specialized and technical fields fully provided for?

4. Is the collection in each area extensive, attractive, and accessible enough to tempt students to read beyond their assignments?

5. Do the collection and services encourage and facilitate advanced study and research by the faculty?

6. Is the library buying enough new books or providing access through slides, tapes, microfilm, microfiche and other materials to keep reasonably abreast of scholarly advances in each field of instruction and research which concerns the institution?

7. Is the library steadily and persistently filling in the gaps of its basic collection?

8. Are obsolete books and other materials continuously being culled out and discarded, with faculty help, to keep the collection solid and current?

9. Are interlibrary loans and the resources of other nearby collections being used advantageously, not as a substitute for this library's proper development but as a strong supplement to it?

10. If there are departmental libraries, do they meet the needs of the total student body better than a single collection would, and are they properly controlled?

11. Do all who are legitimately concerned participate in determining the library's objectives, basic acquisition policy, and budget?

12. Have the trustees considered and approved the library's objectives and basic acquisition policy?

13. What is the library's book selection policy on such questions as reference materials, textbooks, books in fields in which no instruction is offered, multiple copies, rare books, fiction, the acceptance of gifts, etc.?

14. Is the periodical list comprehensive, well-balanced, and intellectually stimulating?

15. What provision should the library make for recreational reading?

16. What is the policy concerning and the nature of collections other than books, e.g. maps, phonograph records, music scores, reproductions of paintings, films, slides, tapes, etc.?

17. Is the staff providing the instructional, reference, and bibliographical service the students and faculty need in order to take full advantage of the library's resources?

18. How much do the librarians, the library committee, and the faculty know about the way in which and the extent to which the library is being used?

19. What parts of the collection are being most effectively used? Least effectively? Can any relation be traced to the type of teaching and scholarly habits of the faculty?

20. Are communications good between faculty members and librarians?

21. Is the librarian closely in touch with curriculum development and faculty planning, so that he may anticipate instructional and research needs?

22. How active is each department in recommending books for purchase?

23. Is the library convenient, quiet, and inviting for students and faculty to use?

24. Is the library open, with competent professional help available, at the times when students and faculty can conveniently use it?

25. Are the librarian's records well designed for analyzing and improving service?

26. Is the financial support of the library adequate in view of the income and the other needs of the institution?

27. Where television, tapes, and other media are an integral part of the instructional program, what is the library's role in providing materials and assuring their availability to each student?

NOTE: This is one of a series of documents published by the Commission on Higher Education. While each document may be used separately, each should also be viewed in relationship to the document entitled Characteristics of Excellence in Higher Education. A current list of publications is available from the Commission's office.

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COMMISSION ON HIGHER EDUCATION
Middle States Association of Colleges and Secondary Schools
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Revised May, 1970 *

TWO YEAR COLLEGES

Suggestions for Faculties, Trustees, and Others Interested in
Establishing or Improving Two Year Institutions

I. THE PLACE OF TWO YEAR COLLEGES IN AMERICAN HIGHER EDUCATION

Two year colleges are a pragmatic American response to certain educational needs. They offer general education and recognized degrees to students who desire college transfer and career programs. They prepare for employment requiring less than four years of specialized and general training. They enable people to find higher educational opportunity who otherwise might not have considered the possibility.

The various names by which these institutions are known suggest their diversity. Two year colleges is used here as a general designation for all. Comprehensive community college describes a locally organized and supported institution offering a variety of programs and services responsive to the needs of its area; a junior college primarily but not exclusively offers liberal arts and transfer programs; and a technical institute provides mainly job-oriented degree granting curricula but with a base in liberal studies. Each may also offer certificate and short term courses and programs especially designed for its particular constituency.

II. THE FUNDAMENTAL CHARACTERISTICS OF EXCELLENCE IN HIGHER EDUCATION ARE ALIKE FOR ALL INSTITUTIONS

Similar conditions underlie good work in all institutions of higher education, however different they are in form and function. The basic necessity always is a clear definition of the institution's objectives. The educational program must be consistent with that definition, adequate to achieve it, and within the scope of the institution's resources. The student body must be appropriate in ability, preparation, and motivation to the objectives and the program. Given these requirements, the effectiveness of any institution depends upon its teaching, which means primarily upon the ability and enthusiasm of its faculty.

The first index of a college's quality is the astuteness with which it has defined its task; the second is the competence of its faculty. The third is the effectiveness of the programs the faculty has created to produce the results envisioned in the objectives. And the fourth is the resources instructors and students can draw on, especially in the library, laboratories, and other facilities on or off the campus.

*This is the second revision of this document reflecting Commission experience and actual practice. The changes are syntactic and procedural and do not affect the substantive principles of previous editions.

These are the things which make a college. Everything else is supplementary -- means and devices to facilitate learning. But a college will not have these fundamental necessities, at least not at their best or for long, unless it also has substantial support through its governing board, good administration through its president, and creative, responsible participation by the faculty in developing the total educational program of the institution.

III. GENERAL CRITERIA MUST BE INTERPRETED FOR TWO YEAR COLLEGES IN THE LIGHT OF THEIR PARTICULAR FUNCTIONS

1. OBJECTIVES

The forms of educational institutions are less important than their functions, and their teaching functions need to be stated in terms of the changes they seek to induce in their students. A statement of institutional objectives is a description of the effects the educational program as a whole is designed to have on the student.

All worthy institutions of higher education have certain aims in common. They all propose to introduce the student to a body of knowledge, to increase his interest in intellectual matters, to enrich his cultural life, to help him develop powers of discrimination and judgment, and to lead him to commit himself to certain ethical, intellectual, social, and perhaps religious values. These are fundamental goals of higher education and should be expressed in suitable terms and proportions in statements of institutional objectives.

Beyond them each institution needs to define for itself the additional specific aims and emphases which give it character and individuality. For two year colleges they fall into two classes: specific preparation for employment or for the next stage of education, and preparation for life as a human being in society.

What are the distinguishing marks of well defined objectives? (a) They are clear, appropriate to higher education, intellectual in emphasis, and broad in scope. (b) They deal precisely and identifiably with the particular institution. (c) They describe results sought, not the means by which they are to be attained. (d) They are susceptible of attainment in reasonable degrees. (e) They are honest in describing what the institution really plans and constructs its programs to accomplish. (f) They are expressed in simple terms. (g) They are understood and accepted within the institution as a guide for thought and action.

2. PROGRAM

A college's educational program is actually far broader than its curriculum. It includes the total range of influences which an institution brings to bear upon the student, or permits to impinge upon him. In this sense it includes not only the course of study and what goes on in classroom, laboratory, studio, and library, but also the effects of counseling, student activities, playing fields, lounges, cafeterias and dining rooms, dormitories, lectures and exhibitions, and casual faculty contacts.

So far as these forces can be controlled by the college they comprise its educational opportunity. The test of the program in this large sense is the skill with which each aspect of it is

molded and used explicitly to foster the achievement of some phase of the college's objectives, and the extent to which these controllable influences, taken as a whole, can be expected to lead students to attain the college's aims for them.

A college is likely to serve its clientele better by doing a few things well than by undertaking too much. It should be educationally economical -- designed to produce the maximum long range results with the least waste motion. Its courses, majors, and curricula ought to be continuously under obligation to prove their necessity. Curricula should be simple and flexible, grouping options and emphases into a few general patterns so that they can be seen in perspective and kept in balance. The plan of studies should focus the student's attention on a limited number of subjects at a time and give him a sense of relationship among them.

A two year college which offers transfer programs should build them in the light of its own educational philosophy. The task in transfer curricula is to give the student a thorough introduction to the primary areas of liberal education. It cannot and ought not attempt to match point by point the plan of any four year institution.

Technical and professional curricula present the dilemma of how much time to divert from specialized subjects to general or liberal education. The cue to a decision lies in each institution's own objectives. If they are strictly vocational, they imply concentration on producing a higher technical proficiency than a divided course can do in the same length of time, or doing so more quickly. If they encompass intellectual breadth and personal enrichment as well as practical training, they pose an acute issue for the two year college. It obviously has to produce competent specialists, but in meeting this commitment it necessarily accepts also the responsibilities for broader individual development common to all higher education. The problem is how to do both.

The double aim requires a calculated division of time, with an allotment to liberal subjects proportionate to the place general education occupies in the college's objectives. Let it be generous enough to accomplish its purpose. What seems a loss in the curtailment of technical instruction may prove a gain if necessity compels the faculty to discover ways to use their classroom time more productively and to emphasize principles more than procedures.

What kinds of courses should be counted as general education in a technical curriculum? Those which have the best chance of fulfilling its aims for the student, which should be to draw him into important new areas of intellectual experience, to increase awareness of his cultural heritage, and to prepare him to make sound judgments outside as well as within his specialized field. Professional usefulness should therefore not be the only ground on which courses are selected, nor should those whose purpose is to develop communication and computation skills, necessary as these are, be listed among them. The general education sequence should be designed with an eye to its true intent and the distinctive contribution it may make to the total intellectual growth of each student.

A two year college is in an especially advantageous position to include community services as an integral part of its program, consistent with its purpose and objectives. Opportunities for community service -- continuing education, short courses, cultural events -- are virtually limitless, but an institution must avoid the perils of overextending its resources. Carefully planned and skillfully executed, a sound program of community services, catering to the peculiar educational and cultural needs of its various constituencies, can add significant dimensions to an institution's

educational endeavors.

3. FACULTY

Good teaching is the indispensable element in any two year college. If it has a strong enthusiastic faculty and a sound curriculum, it can do good work whatever else it lacks.

The kind of faculty needed depends on the college's objectives. It will be a teaching faculty, so classroom effectiveness will be one of the primary considerations in selecting and promoting instructors. Scholarly preparation will be another. A two year college faculty would be expected to have pursued their graduate studies at least through the master's degree. Activity in advanced study, in keeping abreast in their specialties, and in scholarly and creative production are even more significant indices of its educational stature. In applied subjects professional experience will be another major criterion. Some colleges ask students periodically to analyze their instructors' techniques, for the instructors' own benefit.

The conditions and responsibilities of academic employment in two year colleges should in no important respect differ from those in other institutions. If they do, teaching and administrative work in two year colleges are likely to be thought of as stepping stones to something "better," a completely unacceptable and unwarranted view. That means that salaries and fringe benefits should be comparable to those in four year colleges, tenure and promotion systems as attractive, teaching loads similar, and professional development opportunities as favorable.

The faculty is, or ought to be, the expert professional body to which responsibility for devising and controlling the academic program is committed, under the leadership of the chief executive officer and within the framework of the educational objectives approved by the board of trustees. The role of the faculty should be clearly defined and understood by the governing board.

4. LIBRARY OR LEARNING CENTER

The library is the chief resource of any faculty, whatever the type of institution. The nature and content of the collection will depend on the college's program and objectives, but a college of any kind without a strong and appropriate library is an anomaly. How large the collections should be cannot be answered by any formula. The faculty of a two year college with only two or three thousand items in its library would be hard put to raise its teaching above the text-book level, but a collection ten times as large might be no better for the faculty's purposes.

The principles on which a library's adequacy can be tested are clear. It should fully support all the subjects the college offers, containing the important source materials and a truly representative selection of secondary works and special studies covering each field from all the significant points of view. The depth and extent of the coverage must exceed the immediate requirements of the student body in order to serve and stimulate the brilliant student and to nourish the intellectual life of the faculty. To support for the specific fields taught must be added sufficient material in related fields to show the areas of instruction in proper perspective and to encourage the intellectual excursions which enliven learning and induce habitual use of libraries.

A college library needs also to reveal the general scope of the learned and creative world,

fostering broader interests among its students by surrounding them with basic and interpretative works and standard reference tools in all the general fields of learning. This is especially necessary in two year colleges whose instructional programs are technical or specialized. They must encourage cultural breadth and intellectual vision as well as practical competence.

A two year college library should subscribe to major scholarly journals in each of its areas of instruction. It does not necessarily require long back runs of scholarly material, but should bind what it accumulates. It should display several of the great newspapers, not just the local ones. It ought to help overcome provincialism by keeping a few foreign periodicals in view and encouraging their use in instruction, and especially by giving access to all points of view on controversial matters.

Light and ephemeral reading matter need be given little attention by most college libraries. Its place is in the student lounge. Binding popular magazines is a doubtful expense unless they are destined for actual instructional use.

Any college library should be largely self-contained. Other libraries, even quite convenient ones, are not likely to be used as the college's own collections are, and use, not theoretical availability, is the object. The college should itself provide all the materials the students need in the ordinary course of their work, plus enough surrounding depth and enrichment to tempt them into the fringes beyond it. The increasing availability of cultural and specialized information on tape, records, and film should not be neglected in developing the library's resources. Neither should possibilities be overlooked for linking up with data retrieval and computer systems which can increase the library's value as an information and learning center.

A fine building does not make a good library, but an excellent collection is useless unless it is available and even tempting to use. Seating, lighting, arrangement of books, acoustical treatment and the like are to be judged by their serviceability in making the library a convenient and attractive place for study.

To do that is the function of the staff as well. Since developing and running a library is a complex technical task the success of which affects every aspect of the college's work, those who are in charge of the library need professional training. Because the library has to be related to the classroom, that college is doubly fortunate whose librarians have had teaching experience in a subject field. But the library in the best sense is also a classroom, and the best librarians are those who take their faculty rank seriously enough to consider themselves teachers and not mere custodians of books and reference materials.

Still nothing matters if the library is not used. This should be the faculty's and the librarian's chief concern, especially the faculty's, for a little-used library points unmistakably to routine and textbook teaching.

5. STUDENTS

Two questions need to be asked about a student body. One is whether the students' qualifications and motivations are consistent with the college's objectives. The other is whether the college is attracting and serving those who can best profit by its instruction.

Therefore, every college needs a carefully planned admissions program, but the criteria which are useful in one institution may be pointless in another. Even the requirements for enrollment in one curriculum may legitimately differ from those of another in the same college, if both are intelligently grounded in sound educational objectives. The key word is "appropriate": appropriate to the aims of the college and of a particular program.

Consequently, a two year college should devise its own admissions requirements for non-transfer curricula. As far as it can, it should do so for its transfer programs as well, although the practices of some of the institutions its graduates will seek to enter may limit its freedom.

An "open door" admissions policy has profound ramifications requiring careful study prior to its adoption. When a two year college establishes an "open door" admissions policy, it is particularly important to make continuous followup studies to determine whether it is serving the needs and interests of its students and how it could be doing so more effectively. Such a policy will affect all aspects of institutional planning, funding, and staffing. Among the questions to be asked: How consistent is an "open door" policy with the purpose and objectives of the institution? Is the faculty aware of and ready to cope with the greater spectrum of ability and preparation characteristic of student bodies admitted under such policy? Are the counselling services adequate? Can the college afford the remedial and developmental courses and specialized staff required? Are programs and curricula sufficiently diversified to form a lattice-work of educational opportunity and individual adjustment? Does an "open door" admissions policy imply an "open curriculum" selection policy?

6. STUDENT PERSONNEL SERVICES

A college has an obligation to provide for the welfare as well as instruction of its students consistent with its objectives and the nature of its curricula. Few if any American colleges propose only to stock the student's mind and sharpen his wits, and to do so through fixed curricula. The classroom has to be augmented by services which have much to do with the efficiency of the learning process and the student's achievement.

What is needed? Help to select wisely when a student is confronted with a choice among programs and of electives within curricula; thoughtful, encouraging counsel as he forms his scale of values; an environment in which personal integrity, social understanding, and human sensitivity flourish; unobtrusive but positive faculty interest if extracurricular activities are to supplement rather than subvert academic life.

Expressions of intent do not produce results. There must be definition, organization, and responsibility. The forms vary. Some colleges assign student personnel services to a central staff; others prefer to diffuse them throughout the faculty. When the work enjoys good leadership and genuine faculty and staff support, the structure is less important than the results.

The best two year colleges give careful thought to placement services for their students. They are aware of the special problems students may encounter in seeking transfer to a baccalaureate degree program. They know that students in technical or para-professional curricula need to know about job opportunities, licensing and certification requirements, and many other kinds of information. Counselling is essential to any sound placement program, but it should be an integral part of the overall student personnel services.

7. PLANT AND EQUIPMENT

Buildings and equipment must be looked upon as means which facilitate a college's work but neither guarantee its superiority nor relegate it to inferiority. Nevertheless, a good college deserves good housing and equipment, for they make better teaching possible. Suitable buildings promote economy and convenience in scheduling, heighten the usefulness and efficiency of administration, attract students and faculty, increase prestige, and add greatly to morale. Buildings do not make a college great, but lack of facilities limits its possibilities.

An after-hours two year college using high school facilities is a particularly handicapped institution. It has only half an existence, overshadowed psychologically and dominated materially in a relationship which stultifies the college without helping the high school. Under such circumstances a college cannot achieve the educationally rewarding and professionally invigorating sense of identity which makes for excellence. Lacking the stimulus and standardizing influence of a normal full time program, it can serve only part of its natural clientele and has difficulty attracting and holding the kind of teachers and students it should have. Two year colleges which start on marginal time should have definite and urgent plans to control their own full time facilities soon, and meanwhile should make sure that the temporary accommodations really meet all essential needs.

8. FINANCE AND ACCOUNTING

Two year college business procedures require treatment no different from those of other institutions. Each should have an identifiable budget under its own direct control, drawn up and approved by acceptable processes, even if it is part of a larger organization. Use of a standard collegiate accounting system is desirable. Public institutions should have full autonomy in the allocation and expenditure of their budgeted funds, subject only to proper audits by appropriate government agencies. Suggestions will be found in the publication College and University Business Administration, American Council on Education, Washington, D. C. Revised edition, 1968.

9. ADMINISTRATION

The assets described in the preceding paragraphs are what really count in a college, especially a good program, strong teaching, and rich and well used learning resources. But a college will not have these essential assets long without a competent, imaginative, responsible administration and governing board. Organization and administration gain their importance only as they make good teaching possible, yet good teaching depends upon them.

The president's role is to assemble, maintain, and lead a professional staff who will create and operate an educational program consistent with the institution's objectives; to advise and counsel with the trustees; and to represent the institution before the public, which may include helping the trustees raise money. The title "president" is not important in itself, but it is the one term which is sure to be understood outside the college. The title "dean" has many uses, but it does not properly designate a chief executive officer.

In choosing a president for a two year college a representative selection committee should remember that while administrative ability may be innate, administrative experience is not fully interchangeable. Other things being equal, a candidate with college experience is a better risk

than one whose background is non-academic. Preferably, a two year college president should have solid academic background and teaching experience, but such qualities as intelligence, integrity, vigor, administrative skill, tact and imagination are indispensable. The quality of the college will soon reflect his quality as its leader. Though it may cost twice the salary of any other staff member or even more to get such a person, he is worth it.

No particular organizational pattern can be generally recommended for two year colleges. The business and academic officers who support the president should be subject to appointment and removal by him and must be responsible to him. One chief assistant is usually given charge of the academic program with the title of dean, and a business manager or treasurer is made responsible to the president for business affairs and plant. The Board of Trustees may retain general oversight as to investments and approval of the budget, but the salaried chief business officer should have complete charge of operations and accounting and should be responsible to the board only through the president. He should not report to the treasurer of the board; his relations with him should be consultative and advisory only, with the knowledge and approval of the president.

The administrative organization should be as simple and sparse as effective leadership and control allow, with the responsibilities of each position clearly defined. Each major administrative officer needs close contact with day to day operations and faculty thinking to be effective, plus enough freedom from the pressure of detail to stimulate, give balance, supply ideas, remove sources of irritation, and in other ways to assist the faculty to grow professionally and to concentrate on the work for which the college exists. It is poor economy to load teachers with administrative or clerical duties. Similarly, continuous classroom experience may help administrators retain perspective, but the students will be badly served if administrative exigencies hamper his orderly preparation, regular classroom attendance, and mastery of his field.

The nature and quality of institutional planning -- both short and long range -- are basic indicators of sound administration. While plans are always subject to change, without them an institution can quickly lose its sense of purpose and direction. Planning activities are useful means for involving appropriate constituencies in the ongoing development of an institution -- students, faculty, administrators, trustees, alumni, advisory committees of interested citizens -- but they must be more than merely time-serving exercises. In its best sense, institutional planning stimulates imaginative and creative proposals and approaches for strengthening the institution and enhancing its educational effectiveness.

Administrative assignments are assumed to be for an indefinite period but subject to change at any time. Tenure should not apply to administrative positions; where individuals hold joint appointments as administrators with faculty rank, there should be clear understanding as to whether tenure applies to the latter.

10. GOVERNING BOARD

The governing board represents the founders, the college's constituency, and the public interest. It is responsible for seeing that the college is what it is intended to be, that it fulfills the purposes for which it was founded (unless the purposes have been legally changed), and to insure its continuance. To this end a board appoints a president to direct its operation, advises him on major issues, and strives to conserve and develop the institution's resources. Their function is implicit in the word "trustee" by which they are commonly known: they hold the property and

assets of the college in trust. Even more, they hold the idea of the college in trust.

Good trustees believe in the institution they serve. They are not employed by the institution and are not in a position to gain financially from it. They are its disinterested and impartial governors and simultaneously its most loyal interpreters and supporters. They undertake their office with a sense of responsibility and a readiness to become acquainted with their own institution in more than a superficial way. They must be sensitive and responsive to the needs and interests of faculty and students and to the specialized nature of educational problems.

Channels for communication and consultation are essential. Lack of time, or failure to take enough time for the work, is often the reason a trustee proves inadequate. When a board's responsibilities become so extensive that its members cannot give sufficient time to master them all, it is necessary to create committees or bodies of some kind which can study particular matters in detail. This is especially important when a two year college is part of a larger system operated by a single board.

The college president simply must have full and easy access to the board responsible for his institution's governance. In a multiple-unit city or county system each two year college is important enough and its needs and problems complex enough to justify a sub-board of its own or an advisory body to which the supervisory board delegates practical responsibility for control and finances. If the head of a college must work under another officer, let his superior view him as an associate rather than a subordinate. A first rate college administrator is a rare individual, and he will not be content or at his best under any other arrangement.

A board should be of medium size, large enough for a division of labor, yet not cumbersome. Members should represent different ages, points of view, and interests. There should be a slow turn-over in the membership, through election or appointment for terms long enough to provide experience and continuity but not automatic reelection or reappointment; new vigor and new ideas are needed periodically. In the absence of retirement or removal rules, which are desirable, board members ought to withdraw voluntarily when they reach the staff's retirement age or become unable to attend meetings and college functions regularly. Needless to say, board members must live within reasonable traveling distance of the college and be prepared to make the trip as frequently as necessary.

The board of trustees should have clearly defined bylaws setting forth the purposes and policies of the college and establishing its mode of operation.

11. EVALUATION OF RESULTS

Ultimately there are only two questions which need to be asked about a two year college or any other institution: Has it clearly defined objectives which are appropriate to higher education and to its own potential? How well does it achieve them?

The second question is exceedingly difficult to answer, since the objectives of higher education are deeply concerned with the encouragement of intellectual and personal maturity which are not amenable to objective measurement or statistical analysis. Nevertheless, one of the primary marks of a competent faculty, administration, and governing board is the persistence and skill with which they seek answers, criticizing and improving their procedures in the light of

their findings.

They use tests and measurements, among other means, to discover all that such devices can tell about the progress of their students in the mastery of subject matter, development of skills, logical precision, and ability to apply knowledge. They test student achievement in general as well as specialized areas of the curriculum, on an inclusive as well as course by course basis, and when possible in comparison with student achievement elsewhere. They make frequent appraisals of the records of their graduates in education beyond the two year college level. They survey alumni opinions. They solicit confidential reports from employers. They do not wholly trust any indices, but they search and weigh them all for evidence of progress or success.

Something can be learned through close observation of student conduct. How responsible and constructive is student participation in their own governance? What attitudes and maturity of interests do the students exhibit in their activities and in their response to cultural, civic and professional opportunities? Do their interests change while they are in college? What can be discerned about their attitude toward social values? What are the characteristics of their social life? Do they show increasing interest in scholarship and/or proficiency as they get deeper into their subjects?

Observations of student conduct are not of much use in institutional evaluation unless they reveal changing patterns and at least suggest that the changes are related to the college's educational program. Occasional studies by outside observers afford a useful check on the findings of self-evaluation and encourage objectivity. It is important to use several observers and to give them time enough to get below the surface. Evaluations conducted by the Middle States Commission on Higher Education have these purposes.

12. INNOVATION AND EXPERIMENTATION

The Middle States Commission on Higher Education welcomes perceptive and imaginative experimentation which aims at intensifying the effectiveness of higher education. The Commission supports no particular theories or styles of education or organization. Neither does it prescribe specific rules or formulas. It is cognizant that special requirements may pertain to some institutions, but these should not be permitted to inhibit new approaches and emphases in their educational programs. The Commission insists only that new departures or adaptations be consistent with an institution's purposes and objectives as originally established or as modified to accommodate new conditions.

NOTE: This is one of a series of documents published by the Commission on Higher Education. While each document may be used separately, each should also be viewed in relationship to the document entitled Characteristics of Excellence in Higher Education. A current list of publications is available from the Commission's office.

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PART V

OTHER COMMISSION AND FRACHE POLICIES

unintended uses of its position or correspondence, nor can the integrity of the Commission be compromised by prior or secret agreements with any party on matters affecting the accreditability of institutions.

The Commission's attitude toward requests to investigate member institutions for alleged injustice to individuals depends on the nature of the charges and the evidence offered. Only substantially supported allegations of practices which could seriously retard an institution's educational effectiveness are even considered by the Commission and then only as an initial point for further inquiry. Unless the context suggests the kind of capricious or unprofessional action which disrupts an institution's educational service, the Commission will not intervene on behalf of individuals, or act as a court of appeal in matters of admission, credits, fees, academic difficulty, disciplinary actions and the like. If the circumstances do appear to be of this nature the Executive Secretary may conduct a confidential inquiry, with the knowledge of and in conference with those concerned. The results will be reported to the Commission for its consideration.

The Commission on Higher Education recognizes the paramount importance of objectivity and fairness in the conduct of its affairs and in its relations with individual institutions. Should an institution choose to contest a decision of the Commission, an appeals procedure is provided in the Bylaws of the Middle States Association.

Institutional Data Summaries

Each year a status description of the nature, sponsorship, principal academic programs, levels of instruction, and geographic locations (in the United States and overseas) of instruction of each member institution and applicant for membership is submitted. The Executive Secretary is authorized to revise or accept revisions in status descriptions at any time for clarification or for corrections or updating which do not reflect substantive changes in the institution. (See FRACHE policy on Substantive Change page 86.)

Institutional Disruption (1969)

Middle States accreditation is an expression of confidence that an institution is satisfactorily achieving its goals and is able to cope with its problems as they arise.

Disruption of a Middle States member's work by forces beyond its control will therefore not result in summary loss of accreditation. Prolonged inability to conduct its academic programs will require a review of the situation.

The Commission expects to be kept informed during emergencies.

OTHER COMMISSION AND FRACHE POLICIES

A. COMMISSION POLICIES

Policy on Liaison and Communication between the Commission and Member or Associated Institutions (1971)

The Commission on Higher Education exists to serve the higher educational community and, more specifically, the member and associated post-secondary institutions of the Middle States region. To serve effectively the Commission exerts every effort to be sensitive and responsive to the needs of its constituency as well as to the social and political currents affecting education. Consonant with its purpose of striving to improve educational quality it seeks to balance its obligations to individual institutions with its accountability to the educational community and the public interest.

The Commission endeavors to maintain complete openness of communication between itself and the institutions with which it works. Thus, every member and associated institution is expected to provide the Commission with any information deemed pertinent to a determination of its accreditation or other recognized status. Failure to give information to the Commission is sufficient reason for changing its status. Simultaneously, it is the Commission's obligation to maintain inviolate the confidentiality of information received, and correlatively, not to disclose any action with respect to an individual institution prejudicial to its good standing unless the evidence is overwhelming that the public interest would best be served by so doing.

However, if an institution conducts its affairs in ways which generate serious public concern, the Commission may find it necessary and appropriate to disclose its position. This may result in an inescapable need to breach the usual confidential character of the Commission's relations with an institution. In any event, accreditation or other recognized status is changed or denied only upon clear evidence of loss of educational effectiveness and in accord with due process, never as a punitive measure.

When institutions are related to a centralized system or state agency, the Commission will at all times strive to work directly with the individual units. However, if it becomes necessary to correspond or consult with a coordinating or other agency, such action will be undertaken with the full cognizance of the affected unit insofar as this is feasible. Generalizations about any specific group or type of institutions will be based only on substantial evidence gathered through normal evaluation procedures. To the extent possible, the same concern for confidentiality expressed above in paragraph two will pertain, but the Commission can not be responsible for

Transfer Applicants from Unaccredited Colleges

The basic fact an admissions committee needs to keep in mind in dealing with applications for transfer from students who have done their previous work in unaccredited institutions is that the regional associations evaluate and accredit a college, not the students who are enrolled there. Accreditation by the regional commissions affords reasons for confidence in the clarity of an institution's purposes, in the appropriateness of its resources and plans for carrying out those purposes, and in its practical effectiveness in accomplishing its goals, so far as these things can be judged. Accreditation can not possibly mean that every student in an institution is qualified for transfer, even in courses much like the ones he has been taking. Furthermore, as every experienced observer knows, many an excellent student chooses to go or is able to go only to a new or unknown institution which lacks regional accreditation. And there are a hundred different reasons why the institution may lack accreditation.

A college should by no means exclude transfer applicants from unaccredited institutions. But it takes more effort to deal with them. Among other things, the unaccredited institution should be asked for a catalog covering the years when the student was there. Examine that catalog closely, not just for the description of the courses he has taken but for what it says about the faculty and the libra[redacted]. In examining those two elements, take careful account of the level of [redacted]work the student was doing there, and of the level of the institution itself - whether junior college, senior college, etc. Make a personal inquiry to the dean of that college about the student, asking for a clear-cut recommendation or write to the admissions officer of a nearby institution you know, and ask him what his admissions committee does with applicants from that institution.

Case Studies

A Middle States case study is a professional service which a few institutions are invited by the Commission to offer. It entails presenting themselves for close study by a small group of administrators and faculty members who are interested enough in their particular approach to higher education to want to examine it in detail, for their own benefit.

Case study institutions are not chosen primarily as examples of superior achievement, and certainly not as patterns for others to copy. They are selected because, in the Commission's opinion, observation and discussion of the way they do things will be rewarding for others with like interests.

Participation in a case study is open to anyone from an institution of higher education to a maximum of, usually, about a dozen people. The group prepares through materials distributed in advance, then works for three days on the host institution's campus. It writes no report. An inclusive fee is charged to each participant's institution, covering all his expenses (except travel) plus overhead.

An institution makes a distinctive and important contribution in presenting a case study. The participants are looking for an exchange of ideas, for new ways of doing things. At the same time the host institution itself gains as the process of explaining itself to others induces a clarification and wider comprehension or review of its concepts and practices on the part of its own staff.

Such clarification and realignment of objectives and practices are of course among the primary objectives of a Middle States re-evaluation. Even a well-established and academically secure institution needs that process periodically. Such an institution may not, however, as greatly need the comprehensive analysis of its operations which customarily begins an evaluation. It is likely to be using evaluation techniques habitually on its own. Under such circumstances the Commission sometimes suggests the substitution of a case study for the formal evaluation team visit.

If this is done, the case study itself must not be turned into an evaluation. The two are different in spirit and purpose. An evaluation team is expected to produce a comprehensive, balanced analysis of the institution's entire operations, useful to the institution as a general critique and to the Commission as an appraisal of the institution's strengths and weaknesses. The orientation of a case study, in contrast, is wholly to its participants. There is no written report at the end, and the coverage need not be balanced at all - the institution's preparation is comprehensive but the visitors follow their own interests. Yet experience is demonstrating that a case study offers an institution, in a less formal fashion, an equally useful occasion for self-appraisal and as constructive external criticism as an evaluation does, in a different way, and can give the Middle States Commission as valid, although less detailed, grounds for accreditation action.

The case study group is directed by an appointee of the Commission, chosen in consultation and working in close cooperation with the institution. The institution is ordinarily asked to prepare two or more position papers on key issues for advance study by the visitors. Each subject has to be discussed in terms of both principles and practice. The director and an institutitonal representative arrange the visiting group's activities on campus, allowing time for group interviews and discussions and also for individual inquiries. The group concentrates on the particular institution; the director helps the institution present itself, and adds a measure of generalization. (See Forms of Self-Study section.)

Evaluation Team Associates

Service on a Middle States evaluation team has long been recognized as a superior opportunity for professional education. Critically examining another institution as part of an experienced team broadens one's perspectives and sharpens one's insights. But the responsibility of the accrediting process makes it necessary to limit full membership in such teams to mature academicians from accredited institutions.

In order to extend this opportunity to others, the Middle States Commission on Higher Education from time to time allows an observer who is not eligible for team membership to accompany a team as an associate. He serves in a confidential capacity, with access to the materials the team receives. He is housed on the job with the team. He works closely with the team under the personal direction of the chairman, who assigns him to assist one member or another depending on the Associate's interests, and helps interpret the team's work to him. He is included in the team's conferences, but does not contribute to the team's report.

Evaluation team associateships are available to staff members of institutions which are preparing for initial accreditation, and to faculty members and administrators of member institutions whose presidents want them to have an experience not ordinarily open to them. Associate appointments are solely for the professional development of the individual and his institution; they do not necessarily lead to future evaluation team membership.

Application is by letter to the Executive Secretary of the Commission. Only one associate will be placed with any team, and appointments will be made only when circumstances seem to promise a satisfactory experience.

There is a $200 fee, which covers accommodations and all other costs except transportation. The applicant's institution will be billed for the fee a month before the evaluation.

Consultants for Employment by Institutions

The Commission on Higher Education is usually able, upon request, to suggest names of qualified persons from Middle States member institutions to serve as consultants either in particular areas or on an institution's organization and program in general, for single visits or on a continuing basis. The Commission's service is limited to suggesting the names of appropriate people. The institution conducts its own negotiations with them and employs them or not as it sees fit.

The consultant's relation to the employing institution is that of a private individual. He does not speak for the Commission, even if he happens to be a member of it. But consultants recommended by the Commission are experienced persons, favorably known over a period of time for competent leadership in their own institutions and in the work of the Middle States Association. The Commission has confidence in their knowledge and judgment.

The Consultation process customarily includes:

1. Definition of the problem, in writing, by the institution.
2. Preliminary study of materials prepared by the institution.
3. A visit to the institution to study the problem at first hand.

4. Whatever additional visits, conferences, or investigations the terms of the consultant's employment may require.

5. A written report.

6. Oral discussion of the report if desired by the institution.

The institution should propose financial terms when it approaches a prospective consultant. The amount the Commission pays for such work at present is $100 for the first day, $75 for each succeeding day, plus expenses.

B. FRACHE POLICIES

FRACHE

The activities of the Commission on Higher Education are coordinated with those of similar Commissions in the other five regions of the country through the Federation of Regional Accrediting Commissions of Higher Education (FRACHE).

As the agent of the constituent commissions, the Federation develops and codifies general principles and procedures for institutional evaluation and accreditation. It seeks generally to strengthen and increase the effectiveness of higher education in all appropriate ways. The Federation promotes the exchange of information, experience, and personnel among the constituent commissions, and provides means of communication and cooperation among them. It may establish committees and undertake projects in the

common interest, make studies and seek funds to support them, relate itself to other agencies in the interest of the commissions and their member institutions, and speak for the constituent commissions on matters of general agreement.

The Federation's general aim is to establish a national consensus on accrediting in higher education for regional application. Institutions of higher education are accredited by the six regional accrediting agencies and are provided with consultative and other services through the commissions which constitute the Federation. All institutions of higher education accredited by the six regional agencies are endorsed and recognized as nationally accredited by the Federation.

The endorsement and recognition of regional accrediting by the Federation reflects the long-standing reciprocity among the regional associations. Accreditation of an institution by one regional agency has long been accepted and respected in the other regions as evidence that the institution's performance in the accomplishment of its purposes is satisfactory.

Matters on which common agreement has been reached by the members of FRACHE are promulgated as common policies and procedures of the regional commissions and incorporated in their publications. Several of these are noted in this handbook.

ACCREDITATION OF SPECIALIZED INSTITUTIONS BY REGIONAL ASSOCIATIONS (1964)

It is entirely in order for an institutional accrediting agency to evaluate a specialized institution, if such institution is otherwise eligible for evaluation. Such an evaluation should be no less searching, though perhaps based on more general criteria, than an evaluation conducted separately by or jointly with a specialized agency. The validity of institutional accreditation for a specialized institution is to be found in the meaning of accreditation set forth by the institutional accrediting agency, not in terms of the standards and criteria of the specialized agency. Normally institutional accreditation testifies to the worthiness of the objectives of an institution, the adequacy of its organization, program and resources, both material and human, and to the existence of evidence of the accomplishment of its objectives in reasonable measure.

INSTITUTIONAL INTEGRITY (1966)

By academic tradition and by philosophical principle an institution of higher learning is committed to the pursuit of truth and to its communication to others.

To carry out this essential commitment calls for institutional integrity in the way a college or university manages its affairs - specifies its goals, selects and retains its faculty, admits students, establishes curricula, determines programs of research, fixes its fields of service.

The maintenance and exercise of such institutional integrity postulates and requires appropriate autonomy and freedom.

Put positively this is the freedom to examine data, to question assumptions, to be guided by evidence, to teach what one knows - to be a learner and a scholar. Put negatively, this is a freedom from unwarranted harassment which hinders or prevents a college or university from getting on with its essential work.

A college or university must be managed well and remain solvent, but it is not a business nor industry. It must be concerned with the needs of its community and state and country, but an institution of higher learning is not a political party nor a social service. It must be morally responsible, but even when church related, it is not a religion nor a church.

A college or university is an institution of higher learning. Those within it have as a first concern evidence and truth rather than particular judgments of institutional benefactors, concerns of churchmen, public opinion, social pressure, or political proscription.

Relating to this general concern and corresponding to intellectual and academic freedom are correlative responsibilities. On the part of trustees and administrators there is the obligation to protect faculty and students from inappropriate pressures or destructive harassments.

On the part of the faculty there is the obligation to distinguish personal conviction from proven conclusions and to present relevant data fairly to students because this same freedom asserts their rights to know the facts.

On the part of students there is the obligation to sift and to question, to be actively involved in the life of the institution but involved as learners at appropriate levels. The determination and exercise of proper responsibilities will be related to the students' status as undergraduate, professional, or graduate students.

Intellectual freedom does not rule out commitment; rather it makes it possible and personal. Freedom does not require neutrality on the part of the individual nor the educational institution - certainly not towards the task of inquiry and learning, nor toward the value systems which may guide them as persons or as schools. But individuals and institutions must remain intellectually free and allow others the same freedom to pursue truth.

All concerned with the good of colleges and universities will seek for ways to support their institutional integrity and the exercise of their appropriate autonomy and freedom. In particular, the Federation and the regional commissions, which have a particular responsibility to look at an institution in its totality, will always give serious attention to this aspect and quality of institutional life so necessary for its well-being and vitality.

External Budget Control (1966)

The governing board of an institution must control the institution's budget, which is the expression of the institution's plans in financial terms. Unless the governing board has control of the budget it can not complete its planning function or ensure the implementation of its plans.

When an institution depends for its support on an external agency - state, church, or other public or private agency - the external agency will determine the amount of support it will provide and may appropriately indicate in broad terms the categories for which support is provided and the amounts. The external agency should not, through line items control or other means, determine in detail how funds are to be spent. This is a function of the governing board and the institution's officers.

Once funds have been allocated, the normal expectation should be that the amount of funds will not be reduced. If subsequent developments necessitate reduction of the allocation, the governing board and the institution's officers should determine how and where the reductions are to be made.

If an external agency has a responsibility for pre-auditing or post-auditing it should check only on such matters as arithmetic accuracy, authenticity of signatures, consistency with the provisions of the budget, and legality; it should not question the appropriateness of a particular expenditure.

Accreditation of United States Institutions Outside the United States (1968)

Nonprofit institutions of higher education established by and intended primarily to serve United States nationals outside the United States and its territories which seek institutional accreditation will apply to the Council of the Federation of Regional Accrediting Commissions of Higher Education. The Council will assign responsibility for their evaluation and accreditation to an appropriate commission of higher education.

Institutions so accredited will be accorded the rights and privileges of membership in the regional association to which they were assigned for evaluation. Their names will appear on the national list of accredited institutions published by the Federation.

Innovation (1970)

The Federation of Regional Accrediting Commissions of Higher Education welcomes perceptive and imaginative experimentation which aims at intensifying the effectiveness of higher education. The Federation supports no particular theories or styles of education or organization. Neither does it prescribe specific rules or formulas. It is cognizant that special requirements may pertain to some institutions, but these should not be permitted to inhibit new approaches and emphases in their educational programs. The Federation insists only that new departures or adaptations be consistent with an institution's purposes and objectives as originally established or as modified to accommodate new conditions.

ACCREDITATION OF OPERATIONALLY SEPARATE UNITS (1972)

Institutions are classified as operationally separate if they:

1. are under the general control of a parent institution or a central administration in a multi-unit system;

2. have a core of full-time faculty, a separate student body, and a resident administration;

3. offer programs comprising a totality of educational experience as defined by the appropriate regional accrediting commission.

Responsibility for decisions concerning the accreditation of operationally separate units located within its region rests with each institutional accrediting Commission.

Units granted separate accreditation will be so listed in the regional and national directories.

Units classified as operationally separate which currently share the accreditation of a parent institution or system continue in that status until they can be examined. The appropriate commission will schedule evaluations as soon as practicable. New operationally separate units are expected to seek separate affiliation or accreditation.

Newly-founded units in multiple-campus systems and institutions not previously accredited which merge or affiliate with an accredited institution are not considered accredited if they are operationally separate as defined above. These institutions are expected to seek affiliation or accreditation through the usual procedures.

Programs not classified as operationally separate by the responsible accrediting commission are included in that commission's evaluation of the parent institution, regardless of location. Commissions in other regions where such programs are located may be invited to send representatives.

The above policies for the accreditation of operationally separate units apply to locations within the United States and in foreign countries. Unusual variations should be submitted to FRACHE for review.

SUBSTANTIVE CHANGE (1972)

A substantive change of an accredited institution is one which significantly alters its objectives, scope, or control, and/or establishes instruction at a new geographic location.

An accredited institution planning a substantive change has the responsibility to inform in advance the appropriate institutional accrediting commission in its region. During the process of changing, the institution and the Commission should take the steps necessary to assure an orderly transition consistent with the policy of the accrediting Commission.

Any action taken as a result of a substantive change may involve review of the accredited status of the institution.

GENERAL EDUCATION REQUIREMENTS IN SPECIALIZED PROGRAMS (1973)

This policy expresses a principle of general education which the Federation considers to be a desirable characteristic of postsecondary* institutions. By design, the policy is qualitative rather than quantitative. No formula for specific application or particular pattern of general education is endorsed, since this determination is considered to be the prerogative of the institution.

General education is recognized as an important component of all postsecondary educational programs. Postsecondary institutions must identify and provide a recognizable core of general education that expresses the educational philosophy of the institution for each degree program or cluster of degree programs. In some cases, institutions may provide for general education degree requirements through admission or graduation prerequisites. Institutions are encouraged to include general education in non-degree specialized programs.

General education may include educational experiences which provide: introduction to the major areas of knowledge; opportunity for acquiring the skills and knowledge necessary for living in a complex modern society; and opportunity for the development of basic learning skills and foundations necessary for success in mastering advanced specialized subject matter.

General education in specialized degree programs shall be of collegiate level. The content of general education in specialized degree programs should be comparable, though not necessarily identical, to traditional academic offerings and should be taught by appropriately qualified faculty.

Programs in postsecondary vocational-technical institutions need to evidence recognition of the relationship between broad education and the acquisition of techniques and skills. While an appropriate level of mastery in occupations and technologies is recognized as fundamental, every worthy institution should also strive for the development of student character, and the preparation of its students to live in the world. Programs need to develop within students the capabilities of forming independent judgments, weighing values, and understanding fundamental theory, in addition to amassing facts and mastering skills. The institutional effort in helping its students become contributing and useful members of society, other than through its specific occupational and technical offerings, should be demonstrated in the performance of the institution's graduates. In any type of program, the general education courses, as well as vocational-technical courses, should be taught by staff members who are qualified in the subject being taught.

General education designed specifically for specialized programs should be clearly and accurately described in official publications of the institution.

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*Postsecondary education consists of those educational experiences available to persons who have completed secondary school requirements or who are of post high school age.

JOINT STATEMENT ON THE ACCREDITATION OF GRADUATE WORK (1973)

THE JOINT COMMITTEE ON ACCREDITATION OF GRADUATE WORK, composed of representatives of the National Commission on Accrediting, the Federation of Regional Accrediting Commissions of Higher Education, and the Council of Graduate Schools in the United States, has adopted the following statements:

1. No group should undertake to accredit institutions with respect to their programs of graduate education unless it is responsible to an organization of the institutions themselves;

2. Two kinds of accreditation are identified:

   General or institutional accreditation, which is accreditation of a total institution as evidenced by admission to membership in a regional association, and is understood to be an expression of confidence by the member institutions of a regional association and the Federation of Regional Accrediting Commissions of Higher Education in an institution's purpose, resources, and performance, and

   Specialized (i.e., programmatic) accreditation, which is accreditation of a particular graduate degree program within a particular college or university, and may be granted by a national organization representing a single practice-oriented area, such as architecture, law, medicine, psychology, or social work primarily in order to assure that the purposes and accomplishments of the practice-oriented program meet the needs of society;

3. The review and appraisal of graduate degree programs should be included as part of the overall evaluation and general or institutional accreditation of a college or university and should be done only by a regional accrediting commission of higher education;

4. Specialized accreditation of particular graduate degree programs in a college or university should, in general, be avoided because it tends to force narrowness and conformity in graduate student experience and to retard graduate degree program evolution. In certain practice-oriented fields, however, special accreditation may be appropriate, but only provided it is conducted for practice-oriented graduate degree programs in those fields and by those organizations approved by the National Commission on Accrediting;

5. The granting of general or institutional accreditation should take cognizance of, but need not require, specialized accreditation of individual graduate degree programs;

6. Representatives of the several organizations concerned with general or institutional and specialized accreditation are urged to collaborate, especially by coordinating evaluating visits, utilizing as far as possible the same self-study report and other materials prepared by the institution, and developing joint teams or other cooperative means for conducting evaluations;

7. Certain concepts and definitions be recognized as basic to the foundation of the above-stated propositions, and these are the following:

That the essence of graduate education is in the graduate degree program and, therefore, the graduate degree program is the appropriate basis for consideration of accreditation of graduate work;

That a graduate degree program should be defined as that set of academic experiences offered to a graduate student which are to be satisfactorily completed in order to make appropriate the award by the academic institution to the student of a graduate degree such as Master or Doctor;

That two main types of graduate degree programs, with different primary objectives, may be recognized:

research-oriented graduate degree programs, where the primary objective is to train graduate students through the Master's or Doctor's level as preparation for scholarly or research activity directed mainly toward the acquisition of new knowledge, and completion of the program ordinarily is identified by award of the degree of Master of Arts (M.A.), Master of Science (M.S.), or Doctor of Philosophy (Ph.D.), or

practice-oriented graduate degree programs, where the primary objective is to train graduate students through the Master's or Doctor's level as preparation for professional practice directed mainly toward the application or transmission of existing knowledge, and completion of the program ordinarily is identified by award of the degree of Master of (Professional Field) or Doctor of (Professional Field) e.g., Master of Social Work (MSW), Master of Fine Arts (MFA), Doctor of Arts (DA), Doctor of Musical Arts (DMA), etc.

That immediate academic responsibility for the offering of a graduate degree program should be borne by a number of clearly identified professors who are well-qualified and mutually supportive in the subject field and usually associated together in a formal academic unit such as a department, school, interdisciplinary committee, or the like; and

That the professors associated together in a particular academic unit may appropriately offer, insofar as justified by available capabilities and resources and consistent with the institution's purpose and

objectives, two or more graduate degree programs which may differ by level (e.g., Master of Arts, and Doctor of Philosophy), and/or by objectives (e.g., Master of Arts, and Master of Business Administration).

STUDY ABROAD PROGRAMS

Study abroad can be an important phase of undergraduate and graduate programs in American colleges and universities. Carefully planned and administered, foreign study may add significant dimensions to a student's educational experience. As guidelines for institutions which conduct programs of foreign study or whose students participate in such programs, the Federation of Regional Accrediting Commissions of Higher Education urges that a study abroad program should:

1. be clearly related to the objectives of the sponsoring or participating institution;

2. have a well defined rationale stating the specific nature and purposes of the program, and be accurately represented in the institution's catalog and all promotional literature;

3. provide educational experiences related to the institution's curriculum;

4. be available to students carefully selected according to ability and interest;

5. have a carefully articulated policy regarding the availability of financial assistance to students for programs required by the institution;

6. have clearly specified language proficiency requirements when appropriate to the program and place of study, and clearly defined methods of testing proficiency prior to acceptance into the program;

7. provide extensive information to intended participants, honestly and specifically describing the program's opportunities and limitations, indicating how and where instruction will be given and the relationship to the foreign institution, describing grading practices, pointing up especially significant differences between a home campus experience and what can be expected abroad, including information about local attitudes and mores, and describing local living conditions and the extent of responsibility assumed by the program for housing participants;

8. provide extensive orientation for participants prior to departure for and on arrival in the foreign country with respect to the matters in number 7 above, augmented with more detailed information and instruction related to the specific program;

9. have a resident director carefully selected on the basis of professional competence and interest, appointed for a minimum of two years with provision for overlapping replacement appointments to allow for transition, and assured of the same professional rights, privileges, and consideration as his colleagues on the home campus, with due recognition for the responsibilities of the overseas assignment;

10. provide counseling and supervisory services at the foreign center, with special attention to problems peculiar to the location and nature of the program;

11. guarantee adequate basic reference materials to offset any limitations of local libraries or inaccessibility to them;

12. include clearly defined criteria and policies for judging performance and assigning credit in accordance with prevailing standards and practices at the home institution; where several institutions are involved with a single overseas institution or in a consortium, a common basis for determining grade equivalents is essential;

13. stipulate that students will ordinarily not receive credit for foreign study undertaken without prior planning or approval on the students' home campuses;

14. include provisions for regular follow-up studies on the individual and institutional benefits derived from such programs;

15. assure fair reimbursement to participants if the program is not delivered as promised for reasons within the sponsor's control.

Cooperative arrangements are urged among American institutions seeking to provide foreign study opportunities for their students.

Travel programs per se or commercially sponsored "student-travel programs" should be thoroughly investigated by an institution before granting degree credit for these activities. The regional accrediting commissions do not evaluate these activities as foreign study programs of member institutions, nor will they evaluate independent foreign study programs which are not related to the curricula of specific colleges or universities in the United States.

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Information Leaflets: No charge for single copies. When ordering only these, please enclose a stamped, self-addressed reply envelope.

_____ Candidate for Accreditation Status with the Middle States Commission.

_____ Policy on Liaison and Communication between the Commission and Member or Associated Institutions.

_____ How to use a Middle States Evaluation Report.

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_____ Middle States and NCATE Joint Evaluations.

_____ Dues and Fees for Middle States Services.

_____ The Middle States Generalist Accompanying A Specialized Agency Team.

_____ Institutional Accreditation: New Forms of Self-Study, H.R. Kells; Reprint from Spring 1972 issue of Educational Record.

_____ Joint Statement on Accreditation of Graduate Work: COGS-FRACHE-NCA

*A publication of The Council of Graduate Schools in the United States; may be ordered from Middle States, or directly from the Council, One Dupont Circle, Washington, D.C. 20036.